APPLICATION FOR THE 2006 LARRY L. SAUTTER AWARD FOR INNOVATION IN INFORMATION TECHNOLOGY
University of California, Irvine
Equity Advisor – Online Equity Process

SUMMARY

Currently equity is a decentralized function with variation in the application of guidelines creating an environment of inconsistent pay practices. Furthermore, in order to retain our quality employees, we must pay equitably. As the University of California continues to be in the spotlight regarding compensation issues, it is imperative that we implement procedures that will enable UC Irvine to be in compliance with its own compensation methodology.

EquityAdvisor [http://apps.adcom.uci.edu/expresso5/apps/components/equisure/jsp/help.jsp](http://apps.adcom.uci.edu/expresso5/apps/components/equisure/jsp/help.jsp) was designed to provide managers with a tool to ensure:

- that employees are paid fairly;
- compliance to policy;
- that we follow a consistent pay practice.

PROJECT DESCRIPTION

The hiring process is long and costly, and, once these individuals are hired, we need to ensure that we can retain them. EquityAdvisor provides our managers with information that will enable them to determine if an equity issue exists within their department as well as provide campus-wide comparison. The new process is seamless, paperless, efficient, and requires minimal training. There are no extra costs involved in maintaining and upgrading the application as it was developed in-house.

EquityAdvisor supports campus personnel supervisors challenged with recruiting and retaining quality personnel at a time where there are external market pressures on compensation for positions that are in high demand.

The system serves as an audit and reporting tool and is capable of disseminating information pertinent to tracking the rationale for the increase, who received the increase, and the amount of increase received. It will provide campus personnel with guidelines, checklists, a recommendation, and provide consistent equity adjustments campus-wide.

Description of Solution

Human Resources, in collaboration with campus-wide personnel, worked together to develop a tool that would serve a dual purpose. The user would have access to a system that would provide:

- a quick and efficient process for addressing equity issues within their department(s);
- a training tool that would provide guidance on identifying equity issues.
- an automated approval process;
- reporting capability;
- audit function.
UCI would have:

- campus-wide consistency regarding how equity adjustments are administered;
- potential dollars savings as a result of having a consistent formula to calculate equity;
- tracking mechanism;
- reporting mechanism;
- audit mechanism.

The Former Process:

- Manual process;
- Inconsistent use of guidelines for determining the amount of equity that should be applied;
- Did not provide comparison data;
- Equity inconsistency across the campus;
- No reporting mechanism;
- No standard checklist;
- No mechanism to track if an employee has exceeded the allowable annual increase determined by policy;
- Union notification often neglected.

The New Online Process: EquityAdviser (See Appendix A: Equity Advisor Process Flow)

- Web-based, paperless environment.
- Approval process is automated. There is a built-in workflow, which automatically submits the form to the next approval level. This allows for tracking an application’s status.
- System validates proposed salary to ensure it is within the range or the step process.
- System provides salary comparison information within respective department and campus-wide.
- Serves as an educational tool in identifying true equity issues.
- Ensures Union receives notification of any equity adjustments for represented employees. Sets the clock for the 30-day comment period.
- Budget office is electronically notified of approved equity and funding sources for budgeting purposes.
- Based on requestor’s response to specific questions asked, the system makes recommendation on:
  - Whether the increase should be an equity, reclassification, or promotional recruitment
  - If an internal inequity exists
  - If an external inequity exists
  - If a retention issue exists

The system also provides the requestor with a range increase recommendation applicable to the specific scenario.
TECHNICAL SOLUTION (See Appendix B & C)

EquityAdvisor runs in a Apache Web Server and Tomcat Java Application Server environment. Web pages are written using HTML, JSP and JavaScript. Java was selected in large part for its platform portability and vendor independence, which also makes it feasible to implement EquityAdvisor at other sites.

EquityAdvisor uses Sybase Adaptive Server Enterprise 12.5 as the Database Engine for persistent storage of data. Sybase JDBC driver JConnect5.5 is used for database connectivity. Although Sybase is the current database on the back end, the implementation could migrate to other relational databases with very few configuration changes because stored procedures and other vendor specific calls are not used.

EquityAdvisor is J2SE compliant, built on top of Expresso Open Source Application Development Framework, and follows the Model-View-Controller architecture with the Graphical User Interface being separated from Business Rules.

EquityAdvisor incorporates the Cardiff LiquidBPM Workflow Engine to orchestrate the workflow that defines the equity adjustment review business process. The Cardiff LiquidBPM Workflow Engine is also integrated with our OpenLDAP enterprise directory. Automating processes using workflow results in improved efficiency, increased throughput, and more predictable system behavior. A comprehensive task list is available through SNAP. SNAP is UCI's business portal powered by uPortal, a free, sharable portal under development by institutions of higher-education. The task list in SNAP provides not only the EquityAdvisor tasks, but all the tasks a user is assigned to by all the workflow compatible applications we support.

Moreover, EquityAdvisor is loosely coupled with our other online tools to provide added convenience and functionality for users. For example, our Data Warehouse is used to look up and populate employee related information. Job Title and Pay Information for Staff is queried by EquityAdvisor to determine if the proposed salary is on step or within range. Our Salary Distribution Information is integrated with EquityAdvisor to provide supervisors and reviewers with campus-wide salary distribution information.

TIMELINE:

Beginning of project:  September 2003
Steps taken:
- Assembled workgroup
- Collaboratively gathered requirements
- Charted business process
- Developed prototype
- Approved prototype
- Coded system requirements
- Tested
- Rolled out to pilot group
- Moved to production

Implementation:  Campus-wide rollout - September 2004
ADVANTAGES OF NEW SYSTEM OVER OLD SYSTEM

<table>
<thead>
<tr>
<th></th>
<th>Old System</th>
<th>New System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Method</td>
<td>Paper</td>
<td>Web-based</td>
</tr>
<tr>
<td>Approval Process</td>
<td>Manual</td>
<td>Automated</td>
</tr>
<tr>
<td>Reporting</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Auditing function</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Guidelines</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Checklist</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Data Comparison</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Budget Notification</td>
<td>No</td>
<td>Automated</td>
</tr>
<tr>
<td>Union Notification</td>
<td>Manual</td>
<td>Automated</td>
</tr>
</tbody>
</table>

CUSTOMER SATISFACTION

“Overall, our unit agrees that this is a comprehensive program that provides ample information, checks and balances for the folks who are entering the request. I haven't had any problems with the submission of the requests.” – Kathy

“What is very helpful is seeing the salary ranges of individuals already in ‘like’ positions.” – Harriet

“I like the Equity Advisor because I feel that it provides a level of consistency to the process. It also helps to educate managers in the differences between an equity, reclass and promotion. All the salary compensation tools are very useful too.” - Helen

CONCLUSION

Considering the many challenges we are faced with on a daily basis, it is crucial that we attempt to streamline, automate, and implement policies, procedures and processes that assist us in eliminating any inconsistencies and room for error. The fact that we are decentralized emphasizes the need for collaboration and teamwork in developing tools that will benefit campus-wide personnel while ensuring compliance to UCI policies. The need to be proactive and not reactive in regards to paying our quality employees equitably is imperative to the success of UC Irvine. EquityAdvisor has successfully met these important goals for the campus.
EXECUTIVE PROJECT SPONSORS

Mark Askren, Assistant Vice Chancellor, Administrative Computing Services
Gail Brooks, Assistant Vice Chancellor, Human Resources

PROJECT TEAM MEMBERS

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RELEVANT LINKS

EquityAdvisor:  

Salary Equity Adjustment Overview:  
http://snap.uci.edu/viewXmlFile.jsp?resourceID=1268

User Guide for Submit an EquityAdvisor Request:  

Word Version of Blank Questionnaire:  
http://apps.adcom.uci.edu/expresso5/apps/components/equisure/webdoc/EquityAdvisorQuestionnaire.doc

Job Title and Pay for Staff:  
http://datawarehouse.uci.edu/HRTitlePay/main.jsp

Salary Distribution Information:  
http://snap.uci.edu/viewXmlFile.jsp?resourceID=1588

Total Compensation Calculator:  

Data Warehouse:  
http://datawarehouse.uci.edu/

SNAP (Simple Navigational Administrative Portal)  
http://snap.uci.edu/

Uportal Open Source Framework:  
http://www.uportal.org/

Expresso Open Source Application Development Framework:  
http://www.jcorporate.com/

Cardiff LiquidBPM Workflow Engine:  http://www.cardiff.com/products/liquidbpm_sdk/index.html EquityAdvisor:  
EquityAdvisor Application Process Flow

Administrative Computing services
UNIVERSITY OF CALIFORNIA, IRVINE

Supervisor Completes Questionnaire and Propose a Salary

Supervisor Submits Request

Department Review

Department and Supervisor Notified

Union Notification

Approval Point Review

Equity Request Result

Budget Office Notified
EquityAdvisor Application Architecture

WEB CLIENT

Request state of task, task start and end time, task duration, workflow and task attributes

UPORTAL MyWorkflow Channel

Cardiff LiquidEPM Workflow ENGINE

Expresso Framework

EquityAdvisor

OPEN LDAP

SYBASE

RMI

Instantiate workflow instances from template, set workflow and task attributes, control the progression of processes, activities and work-items.

HTTP(s)

Univ. Computing Services
UNIVERSITY OF CALIFORNIA, IRVINE

APPENDIX B
EQUITY ADVISOR

USER GUIDE
Equity Advisor

Welcome Ying Kussmann

Equity Checklist

Summary: Within range salary advancement occurs primarily through the merit process. An equity increase provides a mechanism for addressing salary inequities arising from external pressure in high demand fields, internal salary compression, and/or retention considerations by granting salary increases to non-probationary employees outside of the normal merit cycle.

An equity adjustment may be warranted in the following situations:

- To retain key individuals whose experience or special skills are uniquely critical to a program or to the completion of high priority projects who receive a job offer.
- To correct an unacceptable salary inequity between an employee's salary and the average salary of similar positions in the market.
- To correct an unacceptable internal salary inequity/compression between positions that are of comparable worth in the department. Comparable worth is defined as equivalent knowledge, skill, abilities, effort, and responsibility absent differences caused by performance, market, and length of service.
- To compensate for a substantial increase in ongoing responsibilities that are not sufficient to warrant a reclassification.
- Position-related skill acquisition that represents more than normal job growth.
- To correct inequities created when new hires are appointed at a higher salary rate than current employees in the same classification within a particular department.

An employee must meet the following criteria to be considered for an equity adjustment:

- The employee must have completed his/her probationary period.
- The employee must not have been reclassified within the previous 6 months.
- The employee has not been hired or promoted within the previous 6 months.

Things to keep in mind:

- Equity increases are funded 100% by the department's budget.
- Equity increases require the approval of the Dean or Vice Chancellor.
- Equity increases granted to employees represented by most unions will require 30 days' advance notice to the union before the salary increase can be implemented.
- Equity increases take effect the first of the month following receipt by the approval authority.
- Equity increases cannot be used to reward performance.
- Equity increases can be broken out over several budget years if funding is limited or other budget constraints exist.

I understand the above criteria.
### Incumbent Info

- **Type Incumbent Name (last, first or last only)**
  - [ ] search

- **Incumbent Email ID**
- **Incumbent Home Department**
- **Incumbent Collective Bargaining Unit**
- **Incumbent Current Title**

- **Type Incumbent Current Working Title**
  - [ ] search

- **Incumbent Campus Phone**

- **Type Incumbent Current Annual Salary**

- **Type Incumbent Current Pay Grade or Step**
  - [ ]

- **Did central Human Resources conduct an equity study for this employee?**
  - [ ] YES
  - [ ] NO

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### Supervisor Info

- **Type Supervisor Name (last, first or last only)**
  - [ ] search

- **Supervisor Email ID**
- **Supervisor Home Department**
- **Supervisor Current Title**

- **Supervisor Campus Phone**

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Enter the employee’s name and click the search icon, information is retrieved and populated.

Select "Next" when done.
Questions to determine whether the appropriate remedy is a Reclassification, Promotional Recruitment, or an Equity Increase:

1. Has at least 50% of the position changed in the nature, variety and difficulty of work?
   - Yes
   - No
   - N/A

2. Has the employee's position been part of a departmental reorganization?
   - Yes
   - No
   - N/A

3. Has the position significantly changed in the type of supervision received?
   - Yes
   - No
   - N/A

4. Has the position significantly changed in the type of supervision exercised?
   - Yes
   - No
   - N/A

5. Has the position significantly changed in the knowledge and skills required to perform the job?
   - Yes
   - No
   - N/A

6. Has the position significantly changed in the complexity of problems or assignments completed?
   - Yes
   - No
   - N/A

7. Has there been an increase in the workload assigned to this individual?
   - Yes
   - No
   - N/A

8. If you adjust the employee's duties, will you be replacing his/her position?
   - Yes
   - No
   - N/A

Answer each question in "Reclassification, Promotion, Recruitment or Equity", select "submit" when done.
Result For Questionnaire Section: 'Reclass, Promotion, Recruitment or Equity' is:

Based on the answers you provided, it appears that reclassification and promotional recruitment are not appropriate in this case. Please continue to the next section to see if an equity increase is appropriate.

Either retake the last questionnaire or accept the result and continue.
Retention
To retain key individuals with special skills or experience that are uniquely critical to a program or completion of high priority projects who receive a job offer.

1. Does the individual have special skills or experience that is uniquely critical to a program or to the completion of a high priority project?
   - Yes
   - No
   - N/A

2. Has the individual received a verifiable job offer from within UCI?
   - Yes
   - No
   - N/A
     a) If yes, list the department, the job title and salary offered.

3. Has the individual received a verifiable job offer from outside UCI?
   - Yes
   - No
   - N/A
     a) If yes, please describe the competing offer including name of company, job title and salary offered.

4. Is the competing offer for a position at approximately the same level of responsibility?
   - Yes
   - No
   - N/A

5. Does the total compensation package of the other company compare to UCI’s? [Total Compensation Calculator]
   - Yes
   - No
   - N/A

6. Would you consider the employee hard to replace if he/she were to leave?
   - Yes
   - No
   - N/A

You may skip this questionnaire if it is not appropriate for your situation.

Otherwise, answer each question to the best of your ability. Select "Submit" when done.
Result For Questionnaire Section: "Retention" is:

Based on the information you provided, it appears that retention MAY be a justification for an equity adjustment. Please select "Accept Result of Section And Proceed" to continue to the next section for additional analysis.

Accept Result of Section And Proceed

Retake This Section Of The Questionnaire

You may either retake the last questionnaire or accept the result and continue.
### Internal (departmental) Equity

To correct an unacceptable internal salary inequity/compression between positions that are of comparable worth in the department. Comparable worth is defined as equivalent knowledge, skills, abilities, effort, and responsibility absent differences caused by performance, market, and length of service.

1. Has the incumbent taken on responsibilities that have resulted in a significant increase in workload?
   - Yes
   - No
   - N/A

2. Is the incumbent supervising employees who are receiving higher pay? (Note: It is not uncommon for direct reports to be receiving more pay than their supervisor. For example, a programmer may demand a higher pay due to market considerations based on technical skills. If the supervising manager does not possess the technical skills, an inequity in salary may not exist.)
   - Yes
   - No
   - N/A
   a) If yes, list the direct reports below (name, title, dept, salary)

3. Are newly hired employees in comparable positions being paid at the same level or higher than the incumbent? (Comparable positions: Positions, either in the same classification or pay range, with similar levels of duties and responsibilities and impact to the organization (department/unit).)
   - Yes
   - No
   - N/A
   a) If yes, list the comparison positions below if known (name, title, dept, salary)

4. Does the incumbent have greater responsibilities and is paid the same or less than other employees within your department?
   - Yes
   - No
   - N/A
   a) If yes, list the comparison positions below if known (name, title, dept, salary)
You may either retake the "Internal Equity" questionnaire or accept the result and continue.
New EquityAdvisor case 00156

Incumbent/Supervisor Info  Equity Analysis  Analysis Results  Salary Analysis  Review/Print/Submit

External (outside of department) competitiveness

Although the external market is used to determine which pay grade or range a job is assigned to, adjustments to the range may not always be possible. An equity increase is a short-term fix to external pressures that can be implemented at the department level.

Skip Section

1. Have you experienced difficulties attracting applicants to your recruitment for this position?
   - Yes  No  N/A

2. Have you had offers turned down due to salary?
   - Yes  No  N/A

3. Are new hires being appointed at a higher salary rate than the salaries of current employees in the same classification within your unit or department?
   - Yes  No  N/A

4. Are you experiencing frequent turnover in this position?
   - Yes  No  N/A

5. Are you aware of similar positions at UCI that consistently pay higher for similar work?
   - Yes  No  N/A
   a) If yes, please identify the UCI department and the position:

5. Are you aware of similar positions elsewhere in the UC-system that consistently pay higher for similar work?
   - Yes  No  N/A
   a) If yes, please identify the campus, the department and the position:
Based on the information you provided, it appears that external market competitiveness MAY NOT be a justification for an equity adjustment. Please select "Accept Result of Section And Proceed" to continue to the next section for additional analysis.

You may either retake the "External Competitiveness" questionnaire or accept the result and continue.
Result for Case is:

Based on a complete review of the information you provided, it appears that an equity adjustment MAY be justified based on retention considerations (factors). Please select "Accept Result of Case and Proceed" to determine the appropriate amount of an equity increase.

Accept Result of Case and Proceed

Do Not Accept Result of Case and Retake Questionnaire

Retake any of the preceding questionnaires or accept the FINAL result and continue.
1. Placement in Range

These questions are designed to help you make a recommendation based on the following examples:

- Employees with little or no experience in the discipline and/or organization should be paid within the first quartile.
- Employees who are fully qualified in the discipline and perform all aspects of the job to the supervisor’s satisfaction should be paid around the midpoint of the pay range.
- Employees who are fully qualified and performing all aspects of the job, satisfactorily, for a considerable period of time, usually 5 years, are paid around the 75th percentile of the range.
- Employees who have been performing the job for a long time and may serve as a campus resource in some capacity of the position are paid near the maximum of the range.

1. Please indicate the incumbent’s current career stage relative to their experience in their current position:
   - New to Role
   - Emerging
   - Established
   - Expert

2. Please indicate the incumbent’s overall performance while in the position:
   - Unsatisfactory
   - Meets Expectations
   - Exceeds Expectations
   - Outstanding

3. How many years of experience does the incumbent have in the discipline/field?
   - 0-5 years
   - 5-10 years
   - 10+ years

4. How many years of experience does the incumbent have at UCI and/or UC?
   - 0-5 years
   - 5-10 years
   - 10+ years

5. How many years has the incumbent been in his/her current title or salary grade?
   - 0-5 years
   - 5-10 years
   - 10+ years

6. Do you consider the incumbent to be fully qualified and functioning (competent) in the position?
   - Yes
   - No

7. Does the incumbent consistently perform above expectations?
   - Yes
   - No

8. Would you consider the incumbent relatively inexperienced in the position (still learning job and/or system/organization)?
   - Yes
   - No

This section will help define an appropriate salary recommendation. Answer each question to the best of your ability and select "Submit" when done.
Below is a recommendation for placement in the salary range. You may retake the "Salary Analysis" questionnaire.

Enter an appropriate annual salary based on the recommendation above. You have two links to help you. Select "Save Proposed Salary" when done.
I. Salary Analysis Questionnaire

Section of Questionnaire | Result of Section
--- | ---
Placement in Range | Based on the information you provided, it is recommended that this individual could be placed between the minimum and the 25th percentile of the range.

II. Proposed Salary (* Required Fields)

| Incumbent Current Annual Salary | $65,000.00 |
| Incumbent Current Pay Grade, Range or Step | |
| Proposed Annual Salary | 68000.00 |
| Proposed Step if Applicable | |
| Percent Increase: (From Current) | 4.52% |

III. Comparison with others in department

Use the following tool to see the impact an equity adjustment would have on others in your department:

- Comp Check - Compensation Check
  Classification: 7274 / PROGRAMMER/ANALYST III-SUPVR
  Pay Range: Recommended salary: 68000.00
  Get a list of employees within the department in either the same classification or pay range/grade who come within 5% of the salary you recommended.
  Please review the list to ensure that this equity adjustment will not create further inequities within your department. You may go back to step II above and enter a new recommended salary to refine your analysis.

IV. Comparison with others across the campus

Below is the average salary information for other employees in this title across campus.

<table>
<thead>
<tr>
<th>Title Code</th>
<th>Job Title</th>
<th>Incumbents</th>
<th>Average Years of Service</th>
<th>Average Salary</th>
<th>Min Salary</th>
<th>Max Salary</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>7274</td>
<td>PROGRAMMER/ANALYST III-SUPVR</td>
<td>8</td>
<td>17.25</td>
<td>$66,913.80</td>
<td>$58,788.00</td>
<td>$72,513.24</td>
<td>10/31/2005</td>
</tr>
</tbody>
</table>

To view average salary information for other titles across campus, please use the tool provided below: Campus Salary Cube

If upon review of this information, you wish to revise your recommended salary, please go back to Step II above.
If you have completed salary recommendation, you can move on to "Review/Print/Submit" Step.

Proceed To Review/Print/Submit
Verify the information is correct (edit if necessary); type in your comments in the space provided. You can generate a PDF version of your request by selecting "Printable View"; Select "Submit For Review" when done.
EquityAdvisor Case 00156 has been successfully submitted.
You can track the status of your request using the tracking feature from "Previous Cases".

Your request has been submitted for review. You can now track the request in the "Previous Cases" tab.
Select "Previous Case". Locate your case by the employee's name. You can either view the entire submitted case by selecting the Case ID, or track the progress of the request by selecting the tracking icon.
In the tracking screen, you will be able to check the status of the case, email inquiries to the reviewers, and withdraw the case.