Everyone in the Caltech community contributes to our success story — students, faculty and staff.

That’s why it’s so important to attract, motivate and retain the best and brightest employees with the skills needed to achieve Caltech’s mission. Our Staff Compensation Program provides a consistent but flexible set of guidelines for doing just that, through pay and career growth opportunities.

As a supervisor, you are responsible for helping your staff employees understand how they are paid. You also play a key role in helping your staff employees learn, grow and professionally develop at Caltech.

I hope that you use this Guide to better understand the Staff Compensation Program and, in turn, help your staff employees understand their pay as well as their learning and development opportunities at Caltech.

Julia M. McCallin
Associate Vice President for Human Resources
The Framework for Pay and Growth

Like all families, the Caltech family has different roles — in fact, we have many diverse roles across the Institute. Our job classification framework outlines how all these roles fit together. It may seem quite structured, but the framework actually allows for flexibility in determining pay and career development.

How It Works

Every staff position is assigned to a category in each of the following areas.

Job Family: A Job Family is a broad grouping of jobs where the type of work performed and the knowledge, skills and experience are related. There are 15 Job Families at Caltech:

- Alumni Affairs and Development
- Athletics
- Communications
- Dining and Hospitality Services
- Facilities and Trades Services
- Faculty and Student Services
- Finance
- General Administration
- Health and Consultation Services
- Human Resources
- Information Technology
- Legal
- Library
- Research
- Technical
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CAREER BANDS

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CAREER LEVELS

Support: Assistant, Associate, Senior, Lead
Individual Contributor: Assistant, Associate, Senior, Lead
Management: Assistant, Associate, Senior, Lead

With each higher Career Level, the required responsibilities, skills and knowledge become more complex.

Job Discipline. Within each Job Family, there may be multiple Job Disciplines, which are more narrow groupings of jobs with similar characteristics.

Career Band. Staff positions are also assigned to one of the three Career Bands within their respective Job Family and Discipline. A Career Band describes a position’s basic function: Support, Individual Contributor, or Management.

Career Level. Each Career Band has several Career Levels, which define the skills and competencies required in a position. Career Levels are different for each of the three Career Bands.

At Caltech, we use 13 Skill and Competency “Dimensions” to determine how to place positions into the appropriate Career Level. These Dimensions represent the knowledge, abilities, and work behaviors that are most important for supporting our faculty and students and achieving our mission.

The same 13 Dimensions apply to all staff positions:

- Scope
- Major Job Accountabilities
- Technical Knowledge
- Institute Business Acumen
- Impact
- Leadership and Initiative
- Innovation and Creativity
- Communications
- Collaboration, Cooperation and Teamwork
- Planning/Scheduling
- Problem Solving
- Customer Focus (Internal and/or External)
- Typical Background
How It All Comes Together: The Job Discipline Matrix

The Job Discipline Matrix is a valuable tool for you and your staff employees, a career roadmap so to speak. It identifies the applicable Job Family, Job Discipline, and Career Band as well as the skills and competencies for each Career Level.

Please use the applicable matrix when having pay, performance and career development discussions with your staff employees. If you don’t already have the matrices, contact the Compensation Unit. Understanding how their jobs fit into the framework can help staff employees understand our pay guidelines and how they can learn and grow at Caltech. For additional information and assistance regarding career planning and development, please contact Staff Education and Career Development.

Take a look at the example at right, keeping in mind that this is an illustrative sample matrix for one type of job at Caltech. To keep the illustration simple, requirements are listed for just the first two Skill and Competency Dimensions for the first two Career Levels.
Pay Guidelines

Base pay is the regular pay rate (excluding any overtime or supplemental pay) staff employees receive each pay period. The specific amount of an individual’s base pay is determined based on a number of factors including job discipline, career level, the position’s pay range, and job performance.

Each staff position is assigned to one of 15 pay ranges (numbered 36 through 50), based on specific market data. Each pay range represents a broad range of pay, based on what other employers pay for positions similar to those in the range — the “market rate” for that type of work.

Each range has a minimum and maximum pay rate. For the current pay ranges, please refer to our Human Resources website at http://cit.hr.caltech.edu/Jobs/Compensation.htm.

STARTING PAY AS A NEW STAFF EMPLOYEE
Caltech’s philosophy is to hire staff employees at the appropriate starting pay level, based on their experience and competencies.

For new staff employees, starting pay depends on the pay range for the position and what they bring to the position in terms of education, experience and the skills and competencies needed.

ANNUAL SALARY INCREASES
The Annual Salary Increase (ASI) program is an opportunity for supervisors to review each staff employee’s salary and recommend an increase in line with his or her performance, relevant market data and department budget. All eligible staff employees may earn a merit increase based on their performance in fulfilling their job responsibilities, achieving individual goals, and developing and demonstrating skills and competencies within their position.

The performance appraisal process is designed to encourage the staff employee and his or her supervisor to work together in evaluating the staff employee’s performance. Performance appraisals are not necessarily conducted in the same way or at the same time across the Institute. However, it is typical, and recommended, that you have a performance appraisal discussion with each of your staff employees at least once a year.

Increases are normally effective October 1 and follow guidelines provided by our Human Resources Department as well as the compensation budget for your work unit. Occasionally, a specific department or project may have funding requirements that affect the timing of pay increases.

Help Staff Employees Understand Broad Pay Ranges
Some employers have many narrow salary ranges through which a person’s pay progresses with each year of service. Our Caltech Staff Compensation Program is different — it is built around fewer salary bands with significantly broader ranges of pay. This more flexible structure accommodates our rich variety of unique positions and skills within each pay range.

Because each pay range is so broad and covers such a wide array of market pay rates, it is difficult to predict how an individual staff employee’s pay will grow. While an individual’s pay may increase and progress through the range, his or her pay may not necessarily reach the upper portion of the pay range. It really depends on the individual’s performance and the market pay rates for the position.

Helping your staff employees understand this can help set realistic expectations for pay increases.
Special Recognition

Special recognition rewards celebrate achievements beyond the scope of pay increases or bonuses. Specific, informal rewards vary by department. Examples include a staff employee of the month program, gift certificates, Caltech logo merchandise, certificates of appreciation, and one that should not be overlooked, a simple “thank you” for a job well done.

Due to IRS requirements, there may be tax implications related to special recognition rewards. Contact the Compensation Unit for more information.

BONUS PAY

- If a staff employee’s pay reaches the maximum of his or her pay range, a Bonus in Lieu may be provided instead of a base pay increase (assuming the staff employee exhibits strong individual performance and meets the ASI criteria that would otherwise prompt a pay increase). A bonus in lieu is a one-time, lump-sum payment that does not increase base pay.
- Another kind of bonus at Caltech is the Exceptional Performance Bonus. This bonus is provided to recognize exceptional performance, such as a one-time achievement or contribution, undertaking substantive additional responsibilities/critical assignments, or exceeding expected performance criteria. This type of bonus is awarded throughout the year to qualifying staff employees and during the annual ASI process. When provided as part of the ASI process, a bonus and a pay increase may be given in combination. Depending on the circumstances, such bonuses may be paid as a before-tax or after-tax amount.

OTHER TYPES OF PAY INCREASES

- A market increase may be considered if a staff employee’s pay is low in comparison to what other employers are paying for similar positions. As market pay increases over time, market-based adjustments may be provided to keep pay competitive.
- An equity adjustment may be considered if a staff employee’s pay is low in comparison to Institute positions that are similar to his or her own position.
- A career advancement increase may be appropriate if a staff employee is selected for a higher-level position, either through promotion or reclassification, as described later in this guide.

If you feel that any type of pay increase or bonus is warranted, please contact the Compensation Unit.

KEEPING UP WITH THE MARKET

What Do We Mean by “The Market”? When we talk about paying competitively with “the market,” we’re referring to the employers with which we compete for staff employees — employers from whom we hire staff employees and employers to whom we lose staff employees.

The market may be local, regional or national depending on the position. In addition, for positions that require more specialized skills, we may look for candidates within a more specific market such as a certain type of industry or organization (for example, private research institutions).

What Do We Mean by “Competitive”? The Institute’s pay philosophy is to pay competitive salaries in order to effectively attract and retain qualified staff. Competitive pay targets vary by work unit depending on the specific recruiting objectives and funding arrangements. This allows for greater flexibility to meet diverse needs, given our complexity and wide range of positions.

How Do We Stay Competitive? To make sure our pay remains competitive with the market, we review current market pay surveys each year. Then we make appropriate pay range and individual base pay adjustments.

How Does Market Pay Change? Generally, market pay increases at a steady rate. Although market changes are related to inflation, in our experience, in times of lower inflation, market pay tends to rise at a rate that exceeds cost of living increases. In times of higher inflation, market pay tends to lag behind the cost of living increase rate. Market pay for some positions may increase more slowly or aggressively than it does for other positions, depending on the recruitment pool, demand for relevant skills, and technology changes.
Career Growth Guidelines

Given our focus on education and research, it’s apparent why we value helping staff employees learn and grow. It’s an important part of what makes Caltech a great place to work. We want all staff to be engaged and productive, and we hope each staff employee takes advantage of the opportunities available.

WHAT IS CAREER GROWTH?

Growing in a career means different things to different people. For instance, some staff employees may want to grow by moving to a higher-level position in their current work unit or to an entirely different area of Caltech.

On the other hand, some staff employees may be perfectly content to remain in the same job for the duration of their career. That doesn’t mean there is no room for growth. All jobs evolve and change over time, as new tools and ways of working become available.

Because jobs change, learning and growing is expected of all staff employees even if they don’t aspire to take on new roles and responsibilities.

CAREER ADVANCEMENT

Acquiring new skills and knowledge does not necessarily lead to career advancement. Career advancement happens through one of the following:

• A promotion is when a staff employee moves to a new or higher position that requires a higher level of responsibility and competency, either within or outside the current department. In most cases, staff must apply for and be offered a posted position. Open positions are listed on the Caltech web site. Staff may apply for any open position for which they possess the appropriate skills and competencies. Pay will usually increase if the promotion is to a new position that has a higher market pay rate.

• A reclassification occurs when the nature of a staff employee’s current position changes. If, over time, a person’s duties and responsibilities have grown to the extent that require the application of a higher level of competencies, you — as the supervisor — should work with the Compensation Unit of the Human Resources Department to study the position for possible reclassification. Usually, the staff employee doesn’t have to apply for the reclassified position, assuming he or she has the qualifications and competencies needed to take on the new responsibilities. A pay increase may be appropriate if the position is reclassified due to a significant change in duties and/or responsibilities.

When talking to staff employees about career advancement opportunities, keep in mind that our business needs can support only a limited number of different roles throughout the Institute. This brochure should help you be thoughtful when considering reclassification or promotion.

Diverse Skills and Career Paths

In recognition of our diverse community, Caltech supports a wide array of skills, strengths, and career preferences. Our three Career Bands — Support, Individual Contributor, and Management — represent three different types of careers. All three include opportunities to learn, grow and potentially earn more pay. The benefit programs are generally the same, but titles are different along each path. Here’s another difference:

• Positions in the Support Career Band are considered “non-exempt.” Staff in this category are paid on an hourly basis and receive overtime pay in accordance with state and federal regulations.

• Positions in the Individual Contributor and Management Career Bands are considered “exempt” from these regulations and are not eligible for overtime pay.

Staff employees who build the necessary skills may apply and be considered for open positions in any of the three bands when the opportunity arises.
What You Can Do To Help Staff Employees Develop Professionally at Caltech

We provide a range of resources to help staff employees strengthen their skills and competencies and develop professionally at Caltech. Please encourage and support staff employees in using these valuable tools for learning and growing.

• Review the applicable Job Discipline Matrix with each of your staff employees. It will help them understand what is expected in their current position, and what it takes to be considered for open positions in higher Career Levels.

• Talk to your staff employees about their performance, help them identify their strengths and areas for improvement, and discuss their goals for growth.

• Help staff employees set their personal development plan — for mastering their current job and, if they are interested in taking on new responsibilities, for being considered for higher-level positions. A development plan might include things like specific Caltech training courses, outside training, and/or special project assignments.

• Encourage staff employees to take advantage of the many education and development opportunities offered by Staff Education and Career Development, including:
  — Personal career coaching.
  — Convenient on-campus training and degree and professional certification programs.
  — The Tuition Reimbursement program, which provides financial assistance for approved courses taken at accredited colleges and universities.

For details, go to the Human Resources page at the Caltech website (hr.caltech.edu) and choose Staff Education.

If you have any questions about the information you’ve read in this booklet or about pay in general, please contact the Compensation Unit of our Human Resources Department.

This brochure provides information about the Caltech Staff Compensation Program. The program is also described in various personnel policies, which you may find on the Caltech Human Resources web site. If this brochure and the applicable policies conflict, the policies govern. Caltech reserves the right to change, modify, or terminate any or all of the programs described in this brochure. Receipt of this brochure does not guarantee future employment with the Institute or future compensation changes.