

# CLASSIFICATION GUIDE

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## INTRODUCTION TO CLASSIFICATION

### OVERVIEW AND DEFINITION

#### Overview

The classification plan consists of orderly groupings and structured formal standards. These categories are commonly referred to as class specifications. They represent the number and variety of job categories needed to identify all jobs in the Executive Branch of state government.

Position classification is the process used to match each position to and place it into the correct class. The goal is to assure that the same title, pay range, qualification requirements, selection procedures, training, performance standards, etc. are applied uniformly to all positions similar in responsibilities, duties and skills. This process benefits recruitment, training and development, performance evaluation, workforce planning, and internal and external pay consistency efforts.

#### Definition

Classification, according to Webster, is "a systematic arrangement in groups or categories according to established criteria." Applying this to the classification plan:

- 1) "Groups or categories" are the classes of work (each class specification).
- 2) The "Systematic arrangement" is:
  - the kind of work,
  - its difficulty and complexity including controls on the work,
  - its non-supervisory responsibilities (i.e., independence and authority), and
  - its supervisory responsibilities (i.e., directing the work of other employees).
- 3) "Established criteria" are:
  - the basis for combining positions into classes (i.e., type of work (occupation) and level of skill, effort and responsibility), and
  - the method to evaluate and internally rank those classes (i.e., the Hay Method of Job Evaluation).

## **PURPOSE AND STANDARDS**

### **Purpose**

The Classification plan is a management tool. It organizes the State's large and diverse work by type of work (occupation) and level of skill, effort and responsibility, and defines the processes for keeping the classes current. The class specifications describe the varied types and levels of work in state service. The plan:

- simplifies administrative systems and attains economies of scale,
- promotes comparable treatment of employees between agencies and bargaining groups
- increases opportunities for selection, assignment and transfer of employees statewide, and
- allows systematic compensation decisions.

### **Standards**

Standards that guide developing and maintaining the classification plan include:

- Responsive to changing or emerging technologies and changes in organizational structures through ongoing dialogue with agencies.
- Help agencies allocate positions and limit unplanned reclassifications by creating clear and distinct classes.
- Promote achieving an "equitable relationship between the comparability of the value of work" as called for in ORS 240.190 by assuring classes that can be accurately evaluated and internally ranked.
- Help simplify administrative systems by eliminating unneeded, redundant or overlapping classes.
- Help recruit and retain a competent and qualified work force and eliminate artificial barriers to hiring, transfer or promotion statewide by identifying job-related minimum requirements and knowledge and skills.
- Help identify circumstances (e.g., market conditions, recruitment or retention problems) needing special compensation action by developing classes that clearly describe the work of the State.

## **CLASSIFICATION PLAN REVIEW**

### **Classification Maintenance**

**ORS 240.215(4) and Human Resources Services Division (HRSD) Policy 20.1.1 direct the use of broad, statewide classes.** The basis for statewide classes are common occupational groups encompassing jobs that require similar, job-related knowledge and skills.

While working with agencies to solve their classification issues, HRSD will identify appropriate statewide classes when they exist. But, recognizing that the way work is done changes because of new technologies or changes in agency programs or organizational structures, HRSD will work with agencies to develop new or revised classes when needed.

In reviewing requests for new or revised classes, HRSD will make sure that discrete and internally consistent classes result. Measures for this are:

- 1) Levels in a series that are distinct enough to evaluate at least one step of know-how apart using the Hay methodology.
- 2) Job analysis information, identified by the Subject Matter Experts (SME's), confirms that the knowledge and skills relate to the Duties and Responsibilities in the draft class specifications.
- 3) Positions allocated to the class can use a common Minimum Qualification (classes are not too broad).

## SPECIFICATION DEVELOPMENT/REVISION PROCESS

### Defining the Problem

To initiate a class plan change (new or revised class), the agency contacts HRSD Classification Unit (CU). Together they decide if classification is the source of the problem (or part of it).

**Note:** In this process, remember the difference between a class specification and a Position Description (PD). The **class specification** is a general document. Its purpose is to clearly **describe a type and level of work**. Duties and Responsibilities on the class specification are illustrative. It **neither lists every duty nor gives the detail of specific duties**. That is the function of the PD.

If the problem (or part of it) needs to be handled in another section of HRSD (e.g., compensation, recruitment, etc.), the Classification Analyst (CA) coordinates the contact. If appropriate statewide classes exist, the CA identifies them to the agency. This may solve the problem. If the solution involves proposing changes to the classification plan, the CA will explain the process, time frames, and possible pitfalls in developing new or revising existing classes.

Agencies considering changing classes should keep in mind that such changes may result in greater costs. If revisions result in **increased cost**, generally they **must be permanently financed** within the agency's budget. At times, financing may be sought as part of budget development or from the Legislature. In any case, it is the agency's responsibility to develop a financing plan for any increased cost satisfactory to their Budget and Management (BAM) Analyst.

### Type of Position Change

Consideration must be given to the type of position change proposed and the affect to incumbents. (See HRSD Policy 30.000.01 for more information.) There are two basic types of position changes:

- **Reclassification** – a classification change based on a different assignment of duties, authority and responsibilities but with continuation of the same general knowledge and skills. The changes in position duties usually occur gradually over a period of time.
- **Reallocation** – a classification change where the duties remain the same. The classification change can be to correct a wrong allocation or due to revisions to the classification plan that result in a need to allocate to a different class.

## **Information Requirements**

If it is decided to explore new or changed specifications, the agency provides the CA with:

- 1) Background material identifying why the new/revised class or series is needed.
- 2) Class concepts that describe what the job family does and how to distinguish it from other similar classes. The concept also must show that classes in a proposed series would clearly require additional know-how beyond that learned on-the-job in a trial service period.
- 3) The General Description and Distinguishing Features for each proposed class.
- 4) Supporting position descriptions and organization charts for each proposed class.

## **HRSD Initial Review**

The CA reviews material to decide:

- 1) If the proposal solves the problem without creating other larger problems.
- 2) If the concepts are structurally sound (i.e., the class distinctions are clear to the outside observer, appear to require different levels of Hay know-how, and can be maintained in operation).
- 3) If there are existing classes that adequately describe work and allow recruitment of satisfactory applicants.
- 4) If there are organizational or administrative issues created by the proposal (e.g., classes used by other agencies, impact on other bargaining units, etc.).

## Changing or Developing a Class Specification

If the decision is to modify or revise a class or write a new class specification, the CA coordinates:

- 1) Writing drafts and revisions to get final specifications that are:
  - discrete (i.e., the scope of the work described is such that a common core recruitment can be used for the class, and if a series, that the levels are distinct),
  - internally consistent (i.e., the purpose, distinguishing features, and knowledge and skills tie together the duties and responsibilities), and
  - clearly and accurately written (i.e., neither overstating nor understating the work).
- 1) Verifying that the Knowledge and Skills are related to the Duties and Responsibilities.
- 2) Developing Minimum Qualifications that promote a competent applicant pool and eliminate artificial barriers. See Section 5, "Specification Writing" of the Guide for detailed information on 1), 2) and 3).
- 3) The Hay evaluation of the draft specification(s) by the Central Evaluation Team (CET). See Hay Evaluation Section for more information.
- 4) Agency request, if any, for special pay consideration and the Compensation Unit's assessment.
- 5) Compiling needed supporting information (i.e., concepts, position descriptions, number of positions, organization charts, etc.) including Agency's plan to finance any additional costs and Budget and Management Division's (BAM) review.
- 6) Initiating the implementation process. See below for more information.

## **Implementation**

At this point, the process differs depending on the requirement for collective bargaining.

### **Represented**

If represented, CA sends the class specification(s) and the information developed for BAM review, the Hay evaluation, and Management's position on salary to the Labor Relations Unit.

There may be bargaining or administrative concerns that delay going forward to the bargaining agent (union). If that occurs, the agency and assigned Labor Relations Manager (LRM) pend the specification(s) until the appropriate time and then work together to coordinate completion.

Once management decides to adopt class changes, LRM insures contract requirements for union review and comment occur and relays any comments to the CA to decide if the specification needs modification.

Upon conclusion of successful salary and implementation negotiation, LRM coordinates getting information needed for Legislative review to the Compensation unit for timely inclusion in the Emergency Board letter.

### **Unrepresented**

There also may be administrative reasons to delay seeking legislative approval of unrepresented classes. If this is the case, the agency and CA will pend the specification(s) until the appropriate time to seek legislative approval.

Once management decides to adopt class changes, CA coordinates getting information needed for Legislative review to the Compensation Unit for timely inclusion in the Emergency Board letter.



## THE HAY EVALUATION

### Introduction

Job evaluation is a structured means to rank positions and classifications. It compares different types of work using a common set of values and assumptions.

The evaluation sets the internal relationships among classes. The point-to-pay range relationship adopted by the state translates the evaluation to the internal salary level. This is the primary method used to set the salary level for a classification. Other factors that may affect pay are found in HRMD policy 20.005.01.

### The Hay System

ORS 240.190 requires the State of Oregon to use a neutral and objective method of job evaluation. The Hay System is that method. It is a quantitative method that applies common factors with standard definitions to each class.

The Hay system applies three job content factors to all jobs. They are:

- Know-How (Technical/Specialized, Managerial and Human Relations),
- Problem-Solving (Thinking Environment and Thinking Challenge), and
- Accountability (Freedom to Act, Impact on End Results, and Magnitude)

There is a job context factor applied to some jobs. It is:

- Working Conditions (Sensory/Muscular Effort, Physical Environment/Hazards, Work Demands)

### The Central Evaluation Team (CET)

Five State management employees, trained in the Hay method, make up the CET. They are from the Department of Administrative Services (DAS) and State agencies. The Team generally meets monthly, depending on need and other priorities.

From a statewide perspective, the CET evaluates new or significantly changed class specifications. The CET also evaluates agency head positions, director of board and commission positions and all member positions for paid full-time boards or commissions. These evaluated positions, along with the PE/M (Principal Executive/Manager) Benchmark Report, provide the framework for position allocation to the PE/M series.

## **Making a Presentation**

At the time of evaluation, the agency may make a brief oral presentation to the CET. This allows the agency to highlight key aspects of the work and give context to the class specification. HRSD encourages agencies to present their jobs to help assure accurate evaluation.

More than one agency representative may attend if it will help clarify the information. Regardless of the number of representatives, presentations should be limited to 15 to 30 minutes total.

There is no set format for the presentation. This is the agency's time to clearly explain the functions of the job. It is often helpful to highlight significant aspects or give organizational context. The CET does not review or consider information on market salaries. It also does not consider recruitment or retention problems, work load or employee performance. The CET's sole purpose is to consider job content.

Following the agency presentation, members of the CET may ask questions to help clarify the job's purpose or duties. The CET then evaluates the position or class. The evaluation will be communicated in writing, usually within 7 days, to the Agency's Personnel office.

## **Re-review of Evaluation**

Sometimes the agency may disagree with the evaluation. In that case, the agency may ask for a re-review. A written explanation of why the evaluation score is incorrect must be provided to the CET Chair **within 15 days** of the date of notification of the CET evaluation

Identifying other classifications and explaining how they are comparable to the position under review is useful contextual information for the CET. The CET will review the material at their next regularly scheduled meeting and notify the agency of their decision. This step is a paper review. This is another reason it is important for agencies to present the class or position initially.

The result will be communicated in writing, usually within 7 days, again to the Agency's Personnel office. This usually is the final step in the evaluation process.

## **Special Compensation Reviews**

Special compensation reviews are not part of the CET's role. Exceptions to the evaluated pay range are made in only extraordinary situations. These are explained in HRSD Policy 20.005.15, Exceptions to the Hay Evaluated Salary. Additional criteria may be used in conjunction with this policy during the review and approval process for exceptions.

## THE POSITION DESCRIPTION

### INTRODUCTION AND PURPOSE

#### Introduction

The position description (PD) is the **primary document of personnel administration in the State**. It is basic to:

- designing a job,
- allocating it to a classification,
- identifying type of service,
- recruiting to fill a vacancy,
- complying with Equal Employment Opportunity Commission regulations,
- identifying essential job functions required by the Americans with Disabilities Act (ADA),
- deciding Fair Labor Standards Act (FLSA) status,
- communicating job duties to an employee,
- establishing performance standards, and
- completing a performance appraisal.

A good, up-to-date PD prevents many assignment-related or classification grievances. A well written PD allows the administrative processes of personnel management to function smoothly and efficiently.

#### Purpose

The fundamental purpose of the PD is to describe the specific work assigned to a position. It clearly states the tasks, authority and responsibilities that go together to make up a job.

Good PD's give complete statements of the assigned duties, identify actual guidelines, explain how the employee uses them, give examples of typical decisions and the extent and nature of regular, recurring work contacts.

## **Writing the Description**

### **The Writer**

Management is responsible for consistently well written PD's. An integral part of a manager's responsibility is to define and describe work. The employee may review and clarify as needed for accuracy and mutual understanding of the assigned work.

Ideally, the first line supervisor writes the PD's for positions supervised. This allows the person most familiar with what needs to be done to decide the job structure of the unit. Once written, a program manager should review the completed PD for program consistency and effectiveness.

Personnel staff then reviews the PD for completeness and clarity. They decide the proper allocation for a new position or assure that the position remains properly allocated with the revised duties. They also decide exclusion from collective bargaining and FLSA status.

After these reviews, an Appointing Authority (or designee) signs it. This is the official who has the authority to assign work for the agency. A PD is not an approved assignment of work until signed by the agency's Appointing Authority (or designee).

### **Summary of Steps**

- 1) Management describes, defines, assigns work
- 2) Employee reviews description for clarity and accuracy
- 3) Program manager reviews for program consistency and effectiveness
- 4) Personnel staff review for completeness, clarity, allocation, and various status issues.
- 5) Appointing Authority (or designee) approves

## Form

The State of Oregon uses a standard form for position descriptions. Classified, unclassified, management and executive service jobs use the PD 122. To obtain an electronic copy of the form, contact the Classification and Compensation Unit of HRSD.

Refer to Position Description Instructions Section for section by section instructions for completing the PD 122. The various sections ask for different but interrelated pieces of information about the job. To present a thorough picture of the job, respond directly to each specific question asked.

For example, Position Description Sections 2a {Program Description}, 2b {Position Purpose}, and 3 {Description of Duties} ask for different but related pieces of information about the position. Each of these sections provides a view of the position from the program in which it exists {2a}, to a summary of the purpose of the position {2b}, to the specific duties assigned (3). In completing these sections, the writer should take care to provide the specific information asked for in each section. Similarly, thorough responses to Section 5 {Guidelines} and Section 7 {Decision-Making} provide needed information about the position.

## Gather the Facts

The supervisor's knowledge of the work assigned to the position is the primary source of information for the PD. Secondary sources of data are in organizational charts, current PD's {in the same or other program areas}, and the agency personnel office. One part of revising a PD is to solve any contradictions between the work assigned by the PD and the work done.

## To Begin

The writer's task is to list the primary job duties and to describe for each:

WHAT THE POSITION DOES =	Records	Examines	Searches
TO WHO OR WHAT THE POSITION DOES IT =	proceedings	patients	files
AND WHAT THE OUT PUT OR RESULT IS =	to create a permanent record.	to diagnose their condition.	to retrieve historical information.

## Keep It Simple

Avoid unnecessary use of:

- Multi-syllable words
- Overly long sentences
- Jargon
- Acronyms

### Poor Statements

Monitors and ensures compliance with vehicular traffic flow to ensure safety of all modes of motor transportation.

Positions in/out patients in receptive mode to allow for MRI, CT, US.

### Good Statements

Holds stop sign at highway construction project to control the flow of traffic.

Positions patients for radiological studies (e.g., magnetic resonance imaging, computerized tomography, ultrasound) following doctor's order and set procedures.

## Be Specific

The position description writer can clarify terminology and descriptions of work by asking a mental follow-up question, "in order to do what?" or "for what purpose?" For example:

### Poor Statements

Asks clients questions from a standard form.

Types letters and reports.

### Good Statements

Questions clients to decide eligibility for (specific services), records answers on eligibility form and forwards for processing for acceptance or rejection.

Types final letters and reports from rough copy and general instructions; selects the correct format and proofs draft for typing, spelling and format errors.

## Avoid Ambiguous Terms

The use of ambiguous terms such as "assists," "handles" and "prepares" without a further explanation of how it occurs is invariably a sign of inadequate information. Using the word "by" and then writing the processes, tasks or operations done usually clarifies the ambiguity.

For example, the word "assists," when used alone, can be widely interpreted. It is almost meaningless for position description purposes. An employee who "assists" in a given piece of work may do such simple duties as searching files and assembling material. On the other hand, an employee may "assist" by doing the same duties as the employee being assisted except for the final responsibility for the work product.

Again, much or very little may be meant by the word "prepares." For example, "prepares statistical tables" might simply mean that the employee copies numbers from given places on a schedule, posts them to a given column and line on a tabulation sheet, and uses an adding machine to sum them and compute averages and percentages. On the other hand, it might mean that the employee uses initiative to seek out or develop sources of basic information, decides the means to collect the information, designs the tables, and writes the interpretative text.

If you describe the duties in terms of "what the worker does" instead of "what gets done," you will find it easier to avoid ambiguous terminology.

Because of the range of actions they may describe, other words that can be ambiguous without further explanatory detail include:

analyzes	edits	oversees
arranges	examines	participates
assesses	handles	persuades
checks	instructs	plans
communicates	interviews	processes
compiles	maintains	researches
conducts research	manipulates	reviews
coordinates	modifies	services
decides	monitors	supervises
determines	operates	works with
develops	organizes	



## **Avoid the Passive Voice.**

The passive voice (e.g., is recommended, was filed, were summarized, were reported) suggests an action without an agent. When writing PD's, use an action verb. This identifies the action taken, to whom or what and describes the expected outcome. This clarifies **who** files **what**, **who** recommends **what**, **who** summarizes **what**, and **who** reports **what**. Following **who does what** are the additional details of **to whom** and **for what purpose**.

See **next Section for Additional Examples of Task Statements.**

## **Be Accurate**

Don't overstate or understate. Describe the job as it exists today and not as it may be in six months. Look at what tasks the employee does, not at how well he or she does them.

Writing an accurate PD is more difficult for positions proposed either during budget preparation or for Emergency Board approval. Nonetheless, it is the writer's responsibility to envision what the job will do and describe it on the PD form.

When developing a PD for a job that does not currently exist, the PD writer has an additional task. The writer must think through **what** work will be done and **how** it will be done. Further, this work may be for a program that does not yet exist. This requires additional thought and planning.

Writing a complete and accurate PD, especially of a proposed position, is not a quick or easy task. It often takes more than one draft. Allow time to think through the organization and individual job, to discuss with personnel staff and to rewrite as needed.

A common shortcoming is writing the PD by paraphrasing a class specification instead of giving the clearest description of the assigned work. While a quick paraphrase of the specification may appear to save time, it generally leads to processing delays in establishing positions, reclassification reviews or recruitment. Such PD's also fail to give the specific information an employee needs. In any case, a PD based on anything other than the writer's best understanding of the actual job duties fails to serve its many purposes.

<b>Task Statement</b>	<b>Does What (Action Verb)</b>	<b>To Whom (Object of Verb)</b>	<b>For What Purpose/Output (A Product or Service Result)</b>	<b>How, Where, Machines, Equipment, Tools, Process</b>
Draws blood sample from animal using a syringe or needle prick, either as directed or based on standing instructions to get needed amount of blood for research, testing, surgery or treatment.	DRAWS	ANIMAL BLOOD SAMPLE	To get needed amount of blood for research, testing, surgery or treatment.	As directed or on basis of standing instructions.  Uses syringe or needle prick.
Proofreads grantee's application for clarity of language, appropriate signatures, completeness of information and figures.	PROOFREADS	GRANTEE'S APPLICATION	For clarity of language, appropriate signatures, completeness of information and figures.	
Transports patients to and from treatment units using wheelchairs or wheeled carriage, or helps them to walk so patient may receive treatment.	TRANSPORTS	PATIENTS	So patient may receive treatment.	Using wheelchairs or wheeled carriage.
Writes letters and memos to reply to requests for general information and to answer communications of a routine nature when content and format can be based partially on previous correspondence.	WRITES	LETTERS AND MEMOS	To reply to requests for general information and to answer communications of a routine nature.	When content and format can be based in part on previous correspondence.
Evaluates written and oral reports from project managers about project dates, deadlines and expenses to monitor progress and set resource priorities.	EVALUATES	INFORMATION	To monitor progress and prioritize resources.	From written and oral reports.
Reviews agency projects on-site for compliance with federal and state standards; writes report of findings.	REVIEWS	PROJECTS	To decide compliance and write report of findings.	On-site, using federal and state standards.

## **Administration**

There must be a PD for every position, whether filled or vacant. An accurate PD is required for correct allocation, proper budgeting and effective recruitment. Revise the PD whenever duties or responsibilities of a job change significantly. Other changes such as position number or geographic location must also be revised on the official PD.

The Supervisor should review the existing PD with the incumbent yearly and initial it to verify that it is still accurate. A good opportunity for this is at the time of the annual performance appraisal. However, this procedure does not replace the need to revise the PD as changes in the job occur.

## INSTRUCTIONS

Complete all sections of the form. Responses, by section number, may be continued on an additional sheet, or you may expand the computerized form as needed. When using abbreviations, give an initial explanation of what they mean (e.g., CTP [Correction Treatment Program], MLR [Mined Land Reclamation]). Use classification titles and working titles when referring to other employees. If you need help or have questions, consult your agency personnel office staff.

### Completion of PD Form by Sections

Upper right hand corner: Mark the correct type of State service. Contact your personnel office or refer to ORS 240.195-240.207 for definitions if you need help. **Refer to Section 2.7 (Management Service Criteria) for additional clarification.** Mark whether this PD describes a new position or revised duties.

#### Section 1 - Position Information

- a) Classification Title
- b) Classification Number
- c) Effective Date: For **new** positions, show the earliest date the position may be established (dependent upon funding authority). For **existing** positions that have changed, the date should show when the changes take effect.
- d) Position Number
- e) Working Title (Optional)
- f) Work Unit: show the section, unit or crew location of the position (e.g., Training Section, Maintenance Crew No. 10, North Portland Office, Ward C, etc.)
- g) Agency Number (5 digits)
- h) Agency Name
- i) Employee Name
- j) Work Location (City-County)
- k) Position type and status. Check the boxes that apply to the POSITION (Not the incumbent's status).

l) & m)FLSA (Fair Labor Standards Act) designation. See Personnel Policy 20.005.20. You must apply the FLSA exemption test on a position, not a class, basis. Mark exempt position (e.g., administrative, professional, executive) or nonexempt position. Mark eligible or not for overtime pay. Some general reminders are:

- Base exemption on job content.
- The salary range alone does not make a position exempt.
- Union contracts may stipulate overtime provisions differently from the FLSA. These contracts may create overtime obligations beyond the FLSA. However, they may not limit or restrict application of the FLSA.

**The FLSA Designation Criteria Worksheets included at the end of this section of the guide may be helpful.**

## **Section 2 - (a) Program and (b) Position Information**

- a) Describe what the program (in which the position works) does. State how it contributes to the purpose of the agency. Be sure to include general information about program size (employees, budget), scope (geographic region, statewide) and who or what the program affects. (See Example Position Description/Organizational Charts Section).
- b) Briefly summarize why the position exists and its role in reaching program objectives (e.g., supportive, technical, supervisory, program manager). Think in terms of describing a job to a new friend. One or two sentences are sufficient to describe most jobs. For example:
1. This job gives secretarial support for the engineers in the (specific) unit by typing letters and reports and keeping accurate records.
  2. This job directs and monitors the work of technical and professional employees (of the "X" unit) who collect and analyze ("Y") samples to ensure industry compliance with environmental rules and regulations.
  3. This job does standard technical lab tests on body fluid samples such as urinalysis and blood counts.

### Section 3 - Description of Duties

Accurately describe the major or most important duties assigned to this position. Be sure the description gives a clear picture of what the employee must do in the position. DO NOT include duties assigned solely for employee development or temporary duties. There should be an easily seen relationship between this section (Description of Duties) and the purpose of the position in Section 2 (Program and Position Information).

If this is a supervisory position, begin with a clear statement that covers all elements of supervision done. This information should correspond to the elements checked in Section 9 (Supervisory Duties).

Be specific. Begin each statement with an action verb that describes actual activities, whether physical or mental. Be complete. Assure duty descriptions include what the employee does, how he or she does it, to whom or what and for what purpose. See Task Examples Using Action Verbs for additional examples.

#### Poor Statements

Assists in handling correspondence.

Maintain grounds and landscaped areas.

Keeps claim registers.

The employee is responsible for keeping all records.

Manages the office.

#### Good Statements

Receives, opens, date stamps, sorts and routes incoming mail to appropriate staff for needed action.

Mows lawn with power mower and hand mower to maintain appearance of grounds.

Lists the claim number and the claim amount in a monthly register for tracking in-process claims.

Compares invoices with purchase orders for consistency and accuracy. Reviews purchase requisitions submitted by the (named) departments for accuracy and gives them to Purchasing Agent for approval.

Schedules work assignments of support staff to assure effective use of resources. Assigns and ranks priority of work, as needed. Reviews completed work for accuracy and timeliness. Approves time off assuring staffing levels to complete support work.

In the first column at the left margin of duty page, enter an estimate of the percentage of work time spent doing each duty. When summed, the total is 100%. When updating an existing PD, show in the appropriate left hand column an "N" for duties newly assigned to this position and an "R" for revised duties.

#### **Section 4 - Working Conditions**

Use this section to describe specific working conditions (including danger of injury and other risks) that are out of the ordinary and cannot be mitigated through training and safe work practices. Include how often such conditions are present.

Many positions will need a more detailed analysis of physical and mental requirements to assure compliance with governing regulations such as the ADA or Return of Injured Workers.

#### **Section 5 - Guidelines**

List any established guidelines used to do this job (e.g., State or Federal laws or regulations, policies, manuals or desk procedures) and how the employee uses them. For example:

##### Poor Statements

State tax laws.

Desk procedures.

##### Good Statements

Explains State tax laws (list those specific to position's use) to people who call the office as part of the taxpayer assistance program.

Desk procedures that show proper formats and review procedures when typing letters for the unit, agency or other agency (such as letters for the Governor's signature).

## **Section 6 • Work Contacts**

Identify people or groups of people outside the work unit with whom the employee has contact in the normal course of doing assigned work. Examples are clients, inmates, patients, residents, other people within the agency, State employees in other agencies, legislators, Federal employees at either regional or national levels, people outside State government.

Refer to people by the job they do or by the job title. Do not use people's names in response to the "who contacted" question.

Show how the employee makes contact (e.g., by telephone, in person), why (e.g., exchange of information, explain rules) and how often (e.g., daily, once a week, once a month, etc.).

## **Section 7 - Job-Related Decision Making**

Use specific **examples of typical decisions** made by the employee in the position (e.g., sets work priorities, hires staff, selects and orders equipment, approves benefits) to illustrate the position's authority. This section should relate the level of responsibility for decision making to the assigned "duties" section. For example, decision making limited to "where to route calls," on a PD for an Office Specialist 2 neither represents nor supports the allocation level.

## **Section 8 - Review of Work**

Describe by classification title and position number who reviews the work. Explain how, and how often, and why the supervisor reviews the work. For example:

- The Support Services Supervisor 2 (position no.) reviews the work at weekly meetings to discuss problems and to keep advised of progress.
- The Property Specialist 3 (position no.) reviews the work daily, to ensure the inventory records are accurate and complete.



## Section 9 - Supervisory Duties

**Complete this section only for positions that are supervisors as defined in ORS 243.650(14).**

- Show how many employees this position directly supervises. If this position supervises subordinate supervisors, give the total number of positions supervised through subordinate supervisors.
- Check the appropriate boxes that show the supervisory/management activities done by this position. There should be an interrelationship between this section, the "duties" section, and the "decision-making" section.

Do not complete this section for positions regularly assigned responsibility for some portion of these tasks (e.g., lead worker who assigns work to others) but not excluded based on supervision. For such positions, the tasks should be written in Section 3, Description of Duties, and identified by percent of time.

## Section 10 - Additional Job-Related Information

This is an opportunity to add any additional job-related information not captured in another section of the PD.

### Special Requirements

List any special license, certification, registration or permit **required** by law, rule or regulation for the position.

### Budget Authority

If the position has final authority to spend or encumber money for staff, supplies or equipment, give the total biennial budget amount. Show expenditure area (e.g., services and supplies, capital outlay, personal services, etc.) and describe the source of expenditure authorization (e.g., Federal fund, General fund, etc.).

## **Section 11 • Organization Chart**

Provide an expanded organizational chart. You may use an existing organizational chart if it is accurate, up-to-date and gives all the information needed. The following information must be included:

- Each organizational box should include the following information: Classification Title, Classification Number, salary range, working title, employee name and position number.
- Highlight or clearly designate the subject position.
- Identify at least two levels of supervision above the subject position.
- Identify all other positions directly reporting to the same supervisor.
- If this is a supervisory position, identify positions directly supervised by this position. Include a brief summary of responsibilities of people supervised.

## **Signatures**

- Have the employee sign and date the form (if there is an incumbent in the position). The signature is only an acknowledgment that the employee has read the PD. It does not mean that the employee agrees or disagrees with the description, only that the employee knows the duties assigned to the position.
- The immediate supervisor of the position signs and dates the form. The supervisor, by signing the PD, certifies that the form contains correct information and describes the duties which agency management wants this position to do.
- The Appointing Authority signs and dates the form, certifying that the information provided is correct.

## **MANAGEMENT SERVICE CRITERIA**

### **Introduction:**

The Public Employee Collective Bargaining Act (PECBA) defines the term "public employee" to include all employees of a public employer with the exception of, "[P]ersons who are confidential employees, supervisory employees or managerial employees." (ORS 243.650 (19)) Employees who qualify as "confidential," "supervisory" or "managerial" employees may thus be excluded from a public employee collective bargaining unit.

### **Confidential Exclusion:**

"Confidential employee' means one who assists and acts in a confidential capacity to a person who formulates, determines and effectuates management policies in the area of collective bargaining." (ORS 243.650 (6))

The Employment Relations Board (ERB) has stated that the confidential exclusion requires three criteria: "(1) The alleged confidential employee aids or assists another employe in a confidential capacity, (2) the employe being assisted actually formulates, determines and effectuates management policies in the area of collective bargaining, and (3) the confidential aid or assistance necessarily involves being privy to and/or involved in the employer's preparation of proposals, policies or other materials for use in collective bargaining negotiations." The ERB has also stated that the purpose of the confidential exclusion is to, "[P]rotect employers from the possibility that their collective bargaining policies and strategies will be prematurely disclosed by employees who are necessarily involved in collective bargaining negotiations."

For purposes of the PECBA exclusion, the term "confidential" does not have the same meaning as the dictionary definition of that term. Rather, to qualify for this exclusion, there must be a necessary involvement with collective bargaining. Employees who perform "confidential" duties in the areas of budgeting or human resources, or who are given access to "sensitive" records or who take minutes of management meetings, would not, by virtue of these duties alone, qualify for the PECBA confidential exclusion. Similarly, clerical processing and monitoring of grievances and disciplinary actions will generally not alone provide a basis for this exclusion.

## **Managerial Exclusion:**

"'Managerial employee' means an employee of the State of Oregon who possesses authority to formulate and carry out management decisions or who represents management's interest by taking or effectively recommending discretionary actions that control or implement employer policy, and who has discretion in the performance of these management responsibilities beyond the routine discharge of duties. A 'managerial employee' need not act in a supervisory capacity in relation to other employees...." (ORS 243.650 (16))

This exclusion was added to the PECBA in 1995 by Senate Bill 750. The first major ERB decision dealing with the new managerial exclusion is *OOJ vs. Oregon Association of Justice Attorneys*, Case No. UC-64-95, 16 PECBR 777 (1996). In this case, the Board observed that ORS 243.650(16) sets up an alternative definition -- either branch of which is sufficient to establish the exclusion. A managerial employee is thus an employee of the state who *either* (1) possesses authority to formulate and carry out management decisions, or (2) represents management's interest by taking or effectively recommending discretionary actions that control or implement employer policy. Both alternatives also require that the employee have discretion in the performance of these management responsibilities beyond the routine discharge of duties.

In the *DOJ* case, the Board went on to find that Oregon State Assistant Attorneys General (AAGs) do not possess authority to formulate and carry out Managementdecisions, and hence fail to meet the requirements of the exclusion's first branch. As to the second branch, the Board found that even if the AAGs do represent management's interest by taking or effectively recommending discretionary actions that control or implement employer policy, the exercise of that discretion is not beyond the routine discharge of their duties. They are hired to practice law, and do so, "[U]nder procedures and policy guidelines developed and administered by DOJ management." As such, "[A]n AAG's performance of any responsibility to 'implement employer policy' occurs during the routine discharge of his or her duties."

Finally, under the PECBA definition, a managerial employee need not act in a supervisory capacity in relation to other employees.

## Supervisory Exclusion:

"Supervisory employee' means any individual having authority in the interest of the employer to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward or discipline other employees, or responsibility to direct them, or to adjust their grievances, or effectively to recommend such action, if in connection therewith, the exercise of such authority is not of a merely routine or clerical nature but requires the use of independent judgment.. ." (ORS 243.650 (23))

The definition of supervisory employee was significantly revised by the 1995 Oregon Legislature. Under the revised definition, the authority to exercise any of the 12 powers enumerated in the statute, when combined with the use of independent judgment in the exercise of supervisory powers, may provide a sufficient basis for supervisory status. In determining whether an employee exercises independent judgment which would qualify the employee for supervisory status, the ERB considers such factors as whether the employee performs his or her duties without regular supervision or direction; whether the employee's superiors reinvestigate matters handled by the employee; and whether the employee merely follows a recipe provided in a management cookbook. In reviewing the track record of employees' purported exercise of supervisory authority, the ERB has characterized an adequate record as disclosing, "[R]egular exercise of authority"; and showing "meaningful," "significant," "substantial" and "effective" exercise of such authority. And, like the other exclusions, such exercise must generally be based on current and actual authority (the current *delegation* of authority alone, even in the absence of actual *exercise*, may be sufficient).

As with the managerial exclusion, if the employee makes "effective recommendations," the employee may otherwise meet the statutory definition. According to the ERB, this means that the employee's recommendation is, "[F]ollowed by higher authority more often than not or that higher authority gives the employee's recommendations substantial (*i.e.*, decisive) weight." The ERB has also stated that even in the absence of a track record, "[C]lear evidence that higher authority would give substantial weight to such recommendations .....", may be sufficient. The fact that an employee confers with others about the exercise of a supervisory power such as discipline, does not automatically mean that the individual cannot qualify for the exclusion.

The ERB has also addressed the question of how many employees another employee must supervise to qualify the latter for the PECBA's supervisory exclusion. In the case of *City of Forest Grove v. City of Forest Grove Employees Local 3786*, *supra*, 17 PECBR 171 (1996), one employee was supervised by two project engineers. The Board ruled that, "[I]t is not appropriate for us to exclude an employee from a bargaining unit solely because he allegedly supervises one-

half of an employee -- that is, that he purportedly shares supervision of only one worker with another 'supervisor.' "

The ERB also clarified in the *City of Forest Grove* case that, "While it may be appropriate in a rare case such as *City of Wilsonville* to exclude an employee who supervises only one other worker, this Board believes the provisions of the PECBA generally require that an alleged supervisor have control over multiple workers in order to be excluded from PECBA coverage." In support of this ruling, the ERB cited the ORS definition of "supervisory employee," which, "[S]peaks of supervisors as persons who have charge of other *employees* by directing *them* or adjusting *their* grievances, thus indicating that a true supervisor manages more than one other employee."

## FLSA – PROFESSIONAL EXEMPTION CRITERIA WORKSHEET

See

[http://www.oregon.gov/DAS/CHRO/docs/advice/FLSA\\_Designation\\_Criteria\\_Worksheets.pdf](http://www.oregon.gov/DAS/CHRO/docs/advice/FLSA_Designation_Criteria_Worksheets.pdf)

## FLSA – EXECUTIVE EXEMPTION CRITERIA WORKSHEET

See

[http://www.oregon.gov/DAS/CHRO/docs/advice/FLSA\\_Designation\\_Criteria\\_Worksheets.pdf](http://www.oregon.gov/DAS/CHRO/docs/advice/FLSA_Designation_Criteria_Worksheets.pdf)



## FLSA – ADMINISTRATIVE EXEMPTION CRITERIA WORKSHEET

See

[http://www.oregon.gov/DAS/CHRO/docs/advice/FLSA\\_Designation\\_Criteria\\_Worksheets.pdf](http://www.oregon.gov/DAS/CHRO/docs/advice/FLSA_Designation_Criteria_Worksheets.pdf)

## POSITION ALLOCATION

### INTRODUCTION AND INFORMATION NEEDS

#### Introduction

Allocation is the placement of a position into an existing classification. Correct allocation is to the available class that best depicts the position's officially assigned duties, authorities and responsibilities. The allocation decision sets the basis for recruitment, testing and selection. Correct allocation sets the proper level of compensation (salary range) for the assigned work.

The classification plan has classifications ranging from job specific to generally descriptive of a type and level of work. Specific classes directly relate to a particular occupation and level of work. While not as detailed, they read more like a Position Description (PD) than a general class specification.

A general class specification describes a broader variety of work. Two prime examples are the clerical and managerial series. Because they cover a wide range of positions, they do not contain the detail of any single position. By design, they depict the type and level of work common to the class. Distinctions show how to tell one level of work from others of the same broad type.

#### Information Needs

Unclear or incomplete information is the primary problem in making or explaining an allocation decision. Gathering sufficient specific, job related information is key to making good allocation decisions. It is also key if the Department of Administrative Services (DAS), an arbitrator, or the Employment Relations Board (ERB) reviews a decision.

The PD is the principal document for making allocation decisions. To be valid, the PD must be signed by an Appointing Authority (that person who has the right to approve the assignment of work for the agency). The allocation decision must be based on accurate and current information. Section 2 of this guide covers "how" and "why" to get a complete and accurate PD.

Other information needed to make an allocation includes accurate and complete organization charts. At times, you will need further clarifying information about the position. This may be gained through employee or supervisor interview, questionnaire, review of governing rules and regulations, assignment logs or by observation. See Section on Conducting a Job Audit for suggestions.

The information about the position must reflect the duties, authorities and responsibilities assigned long term. Most jobs are somewhat cyclical in nature or do special projects at times, but **typical work assignments are the basis for allocation** and are nearly always shown by the **long-term regular and recurring duties**. Occasionally, irregular duties may be significant to the purpose of the position. In making an allocation, you must identify the effect of an irregular duty and weight it appropriately.

## APPLICATION AND ANALYSIS

### General Approach

Once you have a thorough understanding of the duties, authorities and responsibilities as well as organizational and work flow relationships of the position, it can be analyzed in relation to the class specifications.

Begin by identifying the kind of work (occupation), its general level and the classes that may match. Initially focus on the purpose of the job and the concept of the class. Section 2b of the PD gives the purpose of the job. Also look at the duties (Section 3) of the PD to get a clearer picture of the job's purpose. The General Description section of the class specification gives the concept for the class. Sometimes you need to look at the Distinguishing Features of the class as well to get a clear picture of the reason for the class.

Compare the purpose for the position (why it exists, what it does) and the concept for each potential class (what kind and level of work is this class designed to cover). This step reduces the number of potential classes.

After deciding this "big picture" match, look closely at all sections of the classes to see how to tell them apart. Sometimes, the distinctions are subtle. Nonetheless, there are distinctions between the classes. Proper position allocation requires that you identify and apply those distinctions.

When looking at a specification, look at the Duties and Responsibilities as representative of the work of the class not literal duty statements. The more general the class, the more critical it is to keep this in mind

Note: At times, you may find that the Duties and Responsibilities do not fully represent the typical work. If so, the class may need modification. Contact the Classification Unit of HRSD to discuss possible maintenance issues.

### Analysis

All sections of the specification have information needed to allocate a position.

The General Description gives a snapshot of the basic concept of the class.

Distinguishing Features, along with the Duties and Responsibilities, generally gives the basis for differentiating between classes or levels in a series.

The Relationships with Others and Supervision Received sections often give additional or clarifying information about controls on the work and independence.

The Knowledge and Skills may also offer relevant information. In examining the knowledge and skills, be certain that they are mandatory for the job. They also must be specific enough to be meaningful to the decision and validated by the minimum qualifications.

Use the specification as a whole to allocate the position. The needed information may be more clearly seen in one area or another, depending on the nature of the specification.

In doing the analysis, focus on the "big picture." Avoid taking a phrase or duty out of context. Don't expect to find a PD duplicated in the class specification. Generally, the specification gives an overall picture of the nature and level of the assigned work.

## Decision

The allocation decision is the application of professional judgment. Analytical considerations to keep in mind include:

- All jobs work outside their class specification from time to time. The key is to keep the purpose of the job in mind. If enough of the work is in another class, then the purpose of the job may have changed and a different class may be the correct one. Through analysis, determine when the work outside the class becomes significant enough to lead to a different allocation for the position.
- Allocation decisions must be based on the class specifications, not on position-to-position comparison. While the allocation of related positions may help support an allocation decision, it is never correct to base the allocation of one position on the allocation of another.
- The allocation decision must be a positive decision. An allocation analysis decides and explains why a position fits in a particular class, not why it does not fit other classes. Briefly explaining why you considered and rejected a particular class or series may help clarify a decision. But, the decision itself must be based on tying the duties, authorities and responsibilities of the position to the class specification.

## TYPES OF ANALYSES

There are generally three types of situations to analyze in making an allocation decision:

- 1) **between levels in a specific series,**
- 2) **between a general class and a specific class** (both of which are somewhat applicable to the position), or
- 3) **between two or more broad classes** with general instead of occupationally specific distinguishing features.

The process of reaching an allocation decision is the same. What differs is where in the specification you find the primary decision-making help and how the specification lays out the distinctions.

### 1) **Classes in a Series**

For classes in a series, the **Distinguishing Features** specifically address how to tell the class levels apart.

Often, parts of the distinctions are relative. A relative class distinction (e.g., more judgment, more complex) requires analytical comparison of similar examples of work in the two classes. The analysis must consider whether:

- the position requires "more" in an absolute sense (i.e. more tasks, more decisions, etc.) Finding this does not necessarily change the classification. The analyst must decide if the "more" meets the criteria of the higher class.
- the work of one position in a class requires "more" than other positions in the same class. Since a class covers a range of work, this can also be true and not result in a classification change. The analyst must discern how the typical or representative duties change from one level to the next in the class specifications and relate that to the position.

In other cases, there may be significant peripheral duties or the purpose of the position and the class may not closely match. If this is the situation, the question may become whether to use the specific class (or series) or a more general one. The next section covers general vs. specific classes.

If a general class (or series) does not describe the work as well, return to the specific classes. Pinpoint the distinctions within the **Distinguishing**

**Features.** Then see how the **Duties and Responsibilities** section support those distinctions and relate them to the position under review.

## 2) **General vs. Specific Classes**

For general vs. specific classes, the initial decision is whether the specific class covers the essence of the position. Remember that the specification describes a type and level of work. It does not give the detail of a PD.

If the more specific class covers the critical elements of the job, for all practical purposes, then it is the correct choice. On the other hand, if the specific class does not cover all the critical elements but the general class does (without losing other elements critical to the job), then the general class is the better fit.

If the position can be adequately described by either, the more specific class is preferred. It more directly applies to the position and has more exact recruitment criteria.

In deciding this, **focus on the purpose of the position and the concept of the class.** This requires identifying the critical or key elements of the job and of both the general and the specific classes.

Because a specific class does not fully cover all the aspects of a position is not the basis to select a general class that is a poorer descriptor of the work. It may be that, while not ideal, the specific class is the best available. This situation may or may not suggest the need for class specification maintenance.

A class specification highlights the critical elements of a class of work and differentiates those elements from other classes of work. A specification that does this but does not cover every aspect of a position does not need maintenance. If you encounter a questionable situation, discuss it with the Classification Unit at HRSD.

### 3) **Between General Classes**

In some ways, General classes are the most difficult allocation decisions. This is because the information in the specification cannot be applied literally to the position. The broad, general nature of the class, covering a variety of positions, means that the job duties of the position are not directly described.

The **Distinguishing Features** and **Duties and Responsibilities** sections of general classes give examples of the type and level of work associated with the class, not position specific tasks.

To apply general classes correctly, begin from a broad perspective to:

- decide if the type of work is appropriate to the class, and
- compare, on a whole job basis, all of the duties of the position to the general level of work described in the class.

Don't expect to find any individual job in the **Duties and Responsibilities** when looking at general classes. The distinctions in these types of classes are not specific. To apply them, review the description of similar work (found in the Duties and Responsibilities section) in each level. Then apply those distinctions to the position.

Also, when dealing with general classes, distinctions in factors such as controls on the work and independence to act are often in the **Relationships with Others or Supervision Received** sections. These sections of the specification usually need closer scrutiny when analyzing general classes.

Consider the information from those sections within the context of the **Distinguishing Features** and **Duties and Responsibilities** sections to reach an allocation decision. Because of the more general nature of the classes, differentiating between general classes requires closer review of distinctions found in **all sections** of the specification.



## GENERAL SERIES OVERVIEW

Within any classification plan there are classes that, by design, cover a wide variety of positions. In the current classification plan, three significant areas where this is the case are:

General Clerical - (Office Assistant 2, Office Specialist 1 and 2),

General Administrative (Administrative Specialist 2, Program Representative 1 and 2, and Program Technician 1 and 2), and

General Management - (Principal Executive/Manager A through J).

This guide discusses the application of those classes in more detail in Section 6 because of their general nature, their use by many agencies and the large number of allocations. This discussion is neither all inclusive nor does it remove the requirement to develop clear PD's and do a thorough allocation analysis. Its purpose is to help with consistency when allocating positions to these classes.

When working with a general series, a complete and accurate PD is critical. For broad classes, the PD must focus on the position (not the program or unit), clearly describing what the employee does and how he or she does it.

In occupationally narrow classes (that differentiate between levels in the **Distinguishing Features** and **Characteristic Duties**), there are more directly applicable distinctions between levels in the series. In the general series, this type of job specificity does not exist. This increases the need to make a positive allocation decision.

## **Mixed Duty Positions**

An Analyst may occasionally encounter a "mixed-duty" position. This is one that combines duties from different classes to the point where one class does not clearly predominate. When faced with allocating a mixed duty position, the reason for the mixed work assignment should be looked into. This review will sometimes identify options that will remove the mixed duty aspects from the position.

Occasionally, the mixed duty assignment is sound. When this is so, identify each significant piece of the job, each correct class, common required skills, and decide those that must be brought to the job and those that can be learned.

Through this analysis, find the partially descriptive class that is the best. In these cases, pay close attention to minimum qualifications and recruitment for the possible classes. This will insure that the selected class allows recruitment of qualified candidates.

## DECISION AND WRITE UP

### Introduction

#### FACTORS THAT DO AND DON'T COUNT IN ALLOCATION DECISIONS

The left-hand column of the chart lists criteria to consider when allocating a position. The right-hand column lists factors that are not relevant to the decision.

DO	DON'T
<ul style="list-style-type: none"><li>• Nature and Variety of work</li></ul>	<ul style="list-style-type: none"><li>• Length of service</li></ul>
<ul style="list-style-type: none"><li>• Complexity of work</li></ul>	<ul style="list-style-type: none"><li>• Quality of Performance</li></ul>
<ul style="list-style-type: none"><li>• Supervision or guidance received</li></ul>	<ul style="list-style-type: none"><li>• Salary Level</li></ul>
<ul style="list-style-type: none"><li>• Supervision or guidance exercised over others</li></ul>	<ul style="list-style-type: none"><li>• Volume of work</li></ul>
<ul style="list-style-type: none"><li>• Guidelines Available</li></ul>	<ul style="list-style-type: none"><li>• Dependability</li></ul>
<ul style="list-style-type: none"><li>• Consequence of Errors</li></ul>	<ul style="list-style-type: none"><li>• Personal qualifications or experience</li></ul>
<ul style="list-style-type: none"><li>• Nature and Finality of Decisions</li></ul>	<ul style="list-style-type: none"><li>• Loyalty to Department</li></ul>
<ul style="list-style-type: none"><li>• Public Contact</li></ul>	
<ul style="list-style-type: none"><li>• Knowledge and skills needed to do the work</li></ul>	

### General Approach

An allocation decision relates the specifics of the position to the best available class specification. To do this, you need a clear understanding of the position and the concept of the classes. Then select the class that best depicts the duties, authorities and responsibilities of the position.

The task in writing up such a decision is to convey that information in an understandable manner. There are two keys to writing an allocation analysis.

One is to **write to a non-technical audience**. Those affected by the decision or who will review it are typically not expert in at least one aspect of the allocation decision: the criteria of the classification or the details of the job.

A good allocation decision blends the class criteria and the job specifics in a straightforward, common sense way. The goal is to relay the information to those affected so that they understand it (even if they do not agree).

The second is to **concentrate on the "big picture."** Base allocation decisions on the typical work done. A good allocation decision logically lays out the

analysis of the duties, authorities and responsibilities of the position. It identifies the purpose of the position and class and then supports that initial match with enough relevant detail.

This necessary supporting detail ties the position to the selected class using job duties and distinctions within the specification. Concentrate on the core duties, authorities and responsibilities of the position (as described on the PD). Then show how they relate to the examples or clarifying or distinguishing language in the class specification.

When allocating a position, be sure to stay in context. Context refers not only to the basic purpose of the position and class, but also to individual duties or aspects within the description of the position or class. Losing sight of the purpose for the position or class concept, emphasizing one duty out of many, focusing on minor or irregular duties, or taking pieces of the PD or class specification out of context with the whole, cause problems in writing an understandable and defensible allocation analysis.

If you have clear position information, the allocation decision usually follows logically. There are techniques to use if confronted by a difficult case.

One is to write the allocation decision for the position for both possible classes. In this process, you will usually find that it is "easier" to write one possible decision or that the supporting logic for one class is easier to follow than for the other. **See Next Section, Elements of an Allocation Analysis, for a summary of information needed for an allocation analysis.**

A second is to become broader and broader in making the position to class match. Focus more and more generally on the position purpose and class concept until one class predominates.

## **Decision Review**

A successful allocation decision is one that those affected by it or who review it readily understand. Those affected include the employee, supervisor and agency management. Review occurs either by the Department of Administrative Services (DAS) or by a third party neutral (e.g., an arbitrator or Employment Relations Board (ERB) Hearings Officer).

Review by DAS is for correct allocation. Allocation decisions based on clear, understandable information (position duties, authorities and responsibilities and identification of the criteria in the class specification) with a logical, common sense explanation of the tie between them will be supported. Problems arise when the information is incomplete or unclear or there is not a well reasoned explanation of why the position best fits in a particular class.

Third party review often is more procedurally oriented. Still, the review process includes substantive issues. If the agency cannot show a logical relationship between the duties, authorities and responsibilities of the position and their chosen class, it will have difficulty sustaining its decision.

Third party review always has the potential for surprises. An allocation decision stemming from a good PD and thorough review that clearly lays out the analysis and decision will usually stand the test of outside review. Further, a decision reached in this way, because it will be understood by those affected or reviewing, is much less likely to be challenged.

## **Elements of an Allocation Analysis**

### **1. Identify the position**

Show position number, budget authorization number (for classification changes), type of action (establishment or classification change), proposed class title and number, present class title and number (if classification change), organization chart, agency analyst and phone number (for questions about the proposed allocation), and date.

### **2. Background**

Give enough background information to let the reviewer understand the context of the request and the circumstances leading to the proposed change (e.g., program growth, program mission changes, law changes, reorganizations, etc.). If a proposed reclassification, point out major changes in the position since its last allocation or describe the circumstances for a reallocation. Briefly explain how the position fits in the organization.

### **3. Analysis of duties and responsibilities**

Highlight the purpose of the position using the significant duties. If it may be a question, clarify how the employee does the duties. Refer to statements in the PD for examples. Do not spend time rewriting tasks already written in the job description.

The depth and detail of an analysis will vary depending on the classification. In clearly defined, occupationally specific classifications, the analysis is not as important as a clear and complete PD.

For broad classes (e.g., general clerical or administrative) and general series, the allocation analysis needs to be more fully detailed even with a quality PD. The less specific the class, the greater the need for clear analysis.

### **4. Allocation**

Relate the concept of the class to the purpose of the position. Cite specific criteria in applicable specifications and show how the position fits the criteria. Use examples of work from the PD to illustrate. Briefly, cover series and level. Explain any organizational considerations that are pertinent. Elaborate as necessary to explain clearly the basis for the proposed action.

## Potential Problems

Difficulty with the written analysis usually stems from two areas. One is **over emphasizing the background information** and giving a detailed recapitulation of the PD. Often, this type of summary then lists several classes and concludes by opting for one of them. When this occurs, the analysis fails its purpose because it does not specifically relate the position to the class.

A second problem occurs when the analysis fails to **keep the position purpose and class concept as the primary focus of the allocation analysis**. This leads to taking pieces of information out of context. It also makes it difficult to tie job duties to examples of work and distinguishing features in the class.

In short, at times there is too much emphasis on the PD or the class specification and too little on how it relates to the decision. The result can be an extensive and detailed write up that doesn't give the needed information.

There are several general areas that cause difficulty in making and supporting an allocation decision.

### 1. Unclear Information

**Unclear or incomplete information is the primary cause of difficulty in making or explaining an allocation decision.** Gathering sufficient specific, job related information is key to making good allocation decisions. It is also key for a successful review by the DAS, an arbitrator or the ERB.

Position descriptions that paraphrase a class specification or are compilations of phrases from a class specification do not supply the needed position specific information. Problems with position allocation occur when PD's fail to describe the duties, authorities and responsibilities assigned to a position.

### 2. Application of the Specifications

**An allocation decision must be based on the class specifications.** Decisions based on position-to-position comparison cannot stand review because the review standard is the class specification. While the allocation of related positions may help support an allocation decision, it is never proper to base the allocation of one position on the allocation of another.

Further, the allocation decision must be a positive decision: "why a position is what it is, not why it is not what it is not." The goal of the allocation analysis is to decide and explain why a position fits within a particular class, not why it does not fit other classes.

### **3. Fact Disputes**

A common problem in allocation is one that can be easily solved. That is disputes regarding facts. For new positions, usually this means the PD is not sufficiently direct and detailed.

If the issue surfaces as part of a reclassification review, it may mean that the PD is inadequate or that the supervisor has not clearly communicated the assignment and expectations. Reaching a valid and accepted allocation decision requires clarifying the facts. This includes reaching a common understanding of the duties and responsibilities assigned to the position.

### **4. Personal Issues**

Other problems that cloud the allocation decision may be categorized as personal issues. Examples of these include:

- quality or quantity of performance,
- personal skills vs. position requirements,
- perceived appropriate salary levels or relationships,
- workload.

While these are real concerns to those affected by the allocation decision, they are not material to that decision. These types of issues may need to be addressed, but position allocation is not the place.

### **5. Pay**

The issue that, overall, causes the most difficulty in the allocation process is pay. Using allocation to affect a pay level or relationship is contrary to State policy. To deal effectively with compensation issues, good position allocation is requisite. It is through accurate position allocation that issues of general salary level or salary relationships can be clearly identified and properly addressed.



## **Summary**

The allocation decision is the application of professional judgment to match the duties, authorities and responsibilities of the position (as reflected in the PD) to the class specification that most closely depicts the duties, authorities and responsibilities of the assigned work.

The decision must be based on a clear understanding of the position, a careful analysis of the classes and the selection of the best available class. The written decision conveys that information in an understandable manner.

A good allocation analysis blends the class criteria and the job specifics in a straightforward, common sense way. It also logically lays out the analysis of the duties, authorities and responsibilities of the position and relates them on a "big picture" basis to the concept of the class. It then supports that initial match with sufficient relevant detail.

## **CONDUCTING A JOB AUDIT**

### **Introduction**

A quality PD is the critical element in conducting a job audit. Section 2 of this guide covers how to write a good PD. For a job audit, the PD should give you most of the information. With a good PD, the job audit

- verifies that you understand the job duties, authorities and responsibilities,
- provides an understanding of how the work of the unit is divided, and
- assures that you understand how the position in question relates to others in the unit or work process.

A marginal PD makes it harder to conduct a good job audit. If the PD does not thoroughly and completely describe the assigned work, the job audit will have to clarify assigned duties and the position's authority and work controls (i.e., level of supervision or other job controls).

Inadequate PD's often have the following flaws:

- sketchy, incomplete or over generalized duty statements,
- fail to separate the specific duties assigned to the position from the general work of the unit,
- missing or inconsistent information in Section 5 (Guidelines), 6 (Work Contacts), or 7 (Job-related Decision Making), or
- copying or paraphrasing the class specification (instead of describing the actual duties of the position).

### **Preparation**

Before doing the job audit, read the PD carefully. Identify areas that are unclear or need further explanation. Also familiarize yourself with the likely classes and how to tell them apart. This will assure that you have or get the facts about the job that you need to make the right distinctions (i.e., those contained in the class specifications).

As you review the PD, prepare to lead the interview and to ask specific questions. The PD and the potential class specifications guide what you need to learn or confirm in the job audit interview.

The purpose of the job audit is to verify and clarify the work assignment. For a new position, this involves the supervisor and, at times, the program manager. For a filled position (proposed for reclassification or reallocation), it may also include the employee. In any case, it is important that those involved get and feel that they have gotten a fair hearing.

### **Information Gathering**

Help the supervisor or employee feel comfortable during the interview. Clarify the purpose of the audit if the employee or supervisor is unfamiliar with the process. It also may help to begin with general questions about the job. As examples, you may begin the interview by asking questions like:

- What does your work unit do?
- Will you tell me a little about your job?
- What kinds of things do you do?

Have an ordered structure for the interview. At the same time, since individuals see their jobs differently, you need to be flexible. While getting the information needed, conduct the interview in a way that makes sense to the interviewee.

After identifying basic job functions through questions like those suggested above, discussing one duty on the PD at a time generally works well. Another method that sometimes helps for more routine positions is to have the employee describe a typical workday or week. For some jobs and employees, it may work best to discuss duties done by workstation.

If the position is strongly project oriented, reviewing the steps and tasks associated with a project in progress or one recently completed may give the needed information. This also gives you the opportunity to see the specific work product. Here, it is important to identify the variety of projects and to understand what is a typical assignment.

The most productive questions are **"How" and the "W" questions: Who, What, When, Why and Where.** To make a good allocation decision and to explain it, you need to understand:

- Where the work comes from and in what form,
- What the employee does with it and why,
- How the employee does it,
- What instructions and guides govern the employee,
- What is the work product,
- Who reviews the work and why,
- Where it goes, and
- What the recipient does with it

**Let the employee or supervisor describe the job in his or her words.** Your job is to clarify what you don't understand. If an answer is vague, rephrase the question or ask follow up questions.

**Ask open-ended questions that require the employee or supervisor to explain the answer.** Avoid questions that can be answered "yes" or "no." Do not ask leading questions (e.g., does this job require in-depth program knowledge?).

Another good technique is to **paraphrase** responses back to the employee or supervisor. This lets him or her clarify a response and give you the information you need. It helps assure that you understand the work.

It is also helpful to **summarize** what you have learned about the job from time to time. Again, this helps you get a clear picture of the assigned work. Both paraphrasing and summarizing are techniques that increase employee and supervisor comfort level.

Following is a **list of sample questions** that may help you get the information you need. They can neither substitute for specific preparation nor be a rote list. They do highlight specific areas and may help you form specific questions. They may also help redirect an interview that has gotten off track.

- o What is the purpose of your work unit? How does it fit in the agency? How does it help the agency get its job done?
- o How does your job fit in the work unit? What is its main purpose?
- o What are your major duties? What do you spend most of your time working on? What are your most important duties?
- o Do you have an example that you're working on now? Can you show me what you do with it; walk me through your process so I can get a clear picture?
- o How do you get your work? Where does it come from?
- o What do you do with the work? What kinds of decisions do you have to make? In this example, how would you know what to do to get the work done quickly and correctly?
- o What are some typical problems that come up while getting your work done? How do you go about figuring out what to do? (Guides, standard practices, ask supervisor/peer, etc.)
- o What kinds of instructions or guidelines do you have?
- o Where does your work go when you are done with it? What do they do with it? What happens if you make a mistake? How would you find out if you did make an error?
- o Who do you regularly talk to about your work (both within the agency and outside)? Why?
- o Who reviews what you do? Why? How does your supervisor keep tabs on what you are doing?

As you gather the information, **avoid judging**. At this point it is your job to get a clear understanding of what the employee does. It is not to rate the job's design or the effectiveness of the procedures.

**Concentrate on what the employee does.** The reason for the unit and position is important contextual information that should be captured in Section 2 of the PD. The goal of the job audit interview is to understand the specific duties assigned to that particular position.

**Take good notes.** They will help support your analysis of the proper classification. If you miss a key piece of information needed for the allocation decision, your notes will let you quickly identify what is missing.

## Cautions

In reclassification reviews there are potential difficulties. One is the argument that the position allocation has "always been wrong." Begin with the assumption that the current allocation is correct. For reclassification requests, one thing you need to find out is what has changed about the job, why, and the source of the new duties.

Also, you must separate performance and workload from duties. **Neither the amount of work nor the quality of performance is relevant to the classification level.** High workload may show the need for an additional position in the unit. Exceptional performance may warrant exceptional salary treatment. Neither are the basis for reclassification.

Similarly, a reclassification request may be based on poor performance elsewhere. It is not appropriate to reclassify one position because it is taking on higher-level work formerly assigned to another position without finding the cause. There may be issues with the other position that need correcting.

## Summary

**There are two critical elements to effective job audits: quality position information and a common understanding of the purpose of position classification.**

As you conduct job audits, you need clear, specific, duty-related information. A good PD provides a clear picture of the reason for the work unit, how the position fits in, and the assigned work. This allows the auditor to concentrate on the aspects of the job that are pertinent to the allocation decision.

An organizational commitment to accurate position allocation is also essential. The State's written policy is to allocate each position to the available class that best depicts the assigned duties, authority and responsibilities. Establishment or reclassification done for another reason (e.g. salary level, reward for good performance, or heavy workload) regularly causes allocation review problems.

## **SPECIFICATION WRITING**

### **INTRODUCTION**

Classifications of work are groups of positions systematically arranged based on:

- type of work (occupation),
- difficulty and complexity including variety and scope (when they add to the knowledge and skills required) and controls on the work (such as segregation or selection of assignments, guidelines or procedures, etc.),
- non-supervisory responsibilities (independence and authority), and
- supervisory responsibilities (directing the work of other employees).

A class specification covers a range of positions similar in duties, authorities, and responsibilities. Each position in the group:

- can be given the same job title;
- requires the same minimum knowledge and skills;
- can be filled using comparable selection methods; and
- as a similar level of job value.

The class specification is a general document. It is not a Position Description (PD). A PD describes the specific duties assigned to a position. The class specification describes a type and level of work. It covers a range of positions where the representative duties, authorities and responsibilities apply.

To highlight this difference, the following standard language precedes the Duties and Responsibilities on class specifications:

"The duties listed below are not inclusive but characteristic of the type and level of work associated with this class. Individual positions may do all or some combination of the duties listed below as well as other related duties."

This reinforces the general nature of the class specification and that a class covers a range of jobs.

## **PURPOSE**

The Classification plan is a management tool. The class specifications describe the varied types and levels of work in state service. The plan organizes the State's large and diverse work force to:

- simplify administrative systems and get economies of scale,
- increase utility in the selection, assignment and transfer of people statewide,
- promote comparable treatment of people among various agencies, and
- allow for systematic compensation decisions.

To do this, class specifications must be:

- discrete (i.e., levels in a series must be distinct enough to evaluate at different levels of know-how or, if a single class, not replicate another class),
- internally consistent (i.e., the class concept, illustrative duties, authority, responsibilities, knowledge and skills are in concert), and
- clearly and accurately written (i.e., neither overstating nor understating the duties, authority and responsibility).

See Section 5.4 for sample class specifications.



## DATA GATHERING AND ANALYSIS

### Class Concepts

The primary requirement for writing a good specification, is clear and accurate position information. Concept statements are the starting point. These identify the reason for the class. They have enough detail to distinguish the proposed class from others (either in a series or in other similar occupational areas). See Sample Class Concepts.

PD's and organization charts support the concept statements. They also give the detail of the work of the class and confirm classifiable distinctions. Writing the actual specification is the last step in creating or revising a class or series.

The need to review class specifications may arise from a planned management action (e.g., new or reorganized work). It also may arise over time (e.g., work distinctions change, allocation difficulties or reclassification requests occur). In any case, the quality and completeness of position specific information is key.

### New or Reorganized Work

Good concept statements are the starting point for this type of review. When gathering data about a planned change, separate present operations from future plans.

You will usually need "proposed" PD's to get the level of detail needed to evaluate the proposed change. You also will need "before" and "after" organization charts.

When deciding whether new or reorganized work requires class maintenance, keep in mind the following:

- Narrowly defined classes limit management flexibility. Maintaining work distinctions is a problem. It is difficult to accommodate the normal ebb and flow of assignments. A narrow class structure also hampers the agency's ability to respond to externally driven changes to work process or product. Generally, classes should be occupationally distinct but broadly written to address the normal fluctuation in the work.
- Grouping occupationally different positions because they work in a common program or agency may cause problems. Draft specifications from such groupings may be too vague because they attempt to cover too many different kinds of work. To work, regular promotional and transfer opportunities must exist between the different occupations in the class.

- Separate classes or class levels are appropriate when the normal work clearly differs in terms of difficulty, complexity, independence and authority. Don't combine different vertical levels of work in a single class. This is a particular problem when mixing occupations in a class which will create problems in recruitment and testing. It also will lead to unfair compensation for some positions in the class.

In summary, two critical elements to assess about how planned organizational change will affect the classification plan are:

- a clear understanding of the purpose for the change, and
- position specific and organizational information showing what the planned change will look like.

Deciding the worth of a proposed class plan change requires clearly stating the benefits of making the change and assessing the long term consequences.

### **Review of Existing Classes**

In the ongoing use of the class plan, questions will arise about specifications needing revision. Symptoms suggesting this include difficult allocation decisions (positions regularly seeming to "fall in the cracks"), recurrent mixed-duty positions, or unusual frequency in reclassification requests.

Again, the key is complete and accurate position specific information in order to review the work division to find out what has changed and why. From this, decide if the nature of the work itself has changed or if existing distinctions have blurred because of other issues (e.g., compensation, recruitment, etc.).

### **ANALYSIS**

After gathering clear and complete information (PD's, organization charts, purpose and distinctions for the groups of positions), sort the positions into logical groups. Do this on two axis:

- horizontally by type of work (considering basic recruitment needs) and
- vertically (considering the difficulty and complexity of the work and the independence and authority of the proposed class).

In this analysis, look for similarities. **Concentrate on the norm not the exception.** Keep in mind that the specification focuses on the characteristic type and level of work.

Discard minor differences or peripheral duties. **Most positions do not fit exactly within a class.** All positions will have some peripheral duties. Most positions have some assignments that are greater and lesser than the class norm. These variations are not the basis for class distinctions. The key to an effective class structure is to group as broadly as possible within the operational needs of the state.

Generally, there are no more than three levels in a series. They are "assistant," "journey," and "senior." In professional occupations, at times you may find a fourth level, "advanced." It covers positions that function as "agency experts" within their occupation, "professional consultants" to peer staff, **and** "policy advisors" to top management.

Depending on organizational culture and structure, there may be another advanced professional level. This would occur when a non-supervisory employee "manages" a major program area. The critical element with this kind of class is independent authority to make major organizational decisions.

During this sorting process, decide whether the proposed classes form a series. A series has a normal promotional progression. Employees in the lower levels of a series should have the basic qualifications. Work experience at the lower level gives them the needed experience to promote to the higher level.

If distinct classes exist without this type of progression, they are not a series. If you find a promotional progression for some positions proposed for the series but not others, review the occupational sorting.

Remember the trial service period. If an employee can gain the minimum knowledge and skills of the higher level in a series by completing trial service at the lower level, there is not enough difference to support separate classes.

After sorting the positions, writing the specification begins with the General Description and Distinguishing Features for each proposed class. This gives the basic concept for the classes and identifies how one can tell them apart. Only after the basic distinctions are clear, can the rest of the specification be written. To meet the requirement for internal consistency, **conceptual distinctions between levels must carry through to the other parts of the specification.**

## **COMPONENTS OF A CLASS SPECIFICATION**

### **Class Title**

The Class Title clearly identifies the work of the class. It should be concise and direct. Like all components of the class specification, it is gender-free (e.g., Police Officer not Policeman). It uses numbers to identify the level within a series (e.g., Industrial Hygienist 2).

### **General Description**

The General Description uses action verbs to give a brief, one or two sentence description of the work. It tells someone unfamiliar with the work the concept of the class.

The General Description should answer the following questions:

- Does what primary action? (verb)
- To whom or what? (object of verb)
- For what purpose? (output)

Following are examples of General Descriptions for different types of classes:

#### **Accounting Technician**

The ACCOUNTING TECHNICIAN records, examines and reconciles expenditure and income accounts to produce accounting records according to statutory requirements, agency policy and general accounting principles and procedures.

#### **Employer Tax Auditor**

The EMPLOYER TAX AUDITOR audits the financial records, tax returns, and operations of subject employers for compliance with Federal and State unemployment insurance tax laws, investigates various tax law related issues, and serves as the Employment Division's authorized representative at agency tax hearings.

## Forest Protection Supervisor

The FOREST PROTECTION SUPERVISOR administers fire protection programs and supervises a forest fire protection unit within an assigned geographical area to prevent or combat forest fires.

## Bookstore Manager

The BOOKSTORE MANAGER runs a retail bookstore on a college campus by supervising staff, coordinating activities with other campus departments, maintaining public relations with academic staff and students, and directing the fiscal operations of the bookstore such as budgeting, ordering and inventory, pricing and cash flow.

When the class describes statutorily excluded work (see Management Service Criteria for supervisory exclusion), the following is the final statement of the General Description:

"All positions in this class are excluded from collective bargaining."

## Distinguishing Features

- 1) If this is a single classification use the following statement:

This is a single classification and not part of a series.

- 2) If the class is to be used **only** to underfill the journey level, use the following statement:

The (class title, e.g., Disability Analyst, Entry) is an underfill class for existing (class title, e.g., Disability Analyst 1) positions. The limited nature of the assigned work, on-the-job training and guidance given distinguish this class from the (class title). The agency determines the training period based on the individual's background, success in training classes and level of proficiency as assignments increase in difficulty.

- 3) If the class is part of a series,

- identify the hierarchical relationship (e.g., this is the second of a three level series); and
- explain how this level differs from the level above and below (as appropriate) in terms of duties, authority and responsibility.

- a) Sometimes, different duties distinguish classes in a series. Specifically note these distinctions in this section (e.g., the regular performance of duties "x," "y" and "z" distinguishes this class from the lower level). The following are examples of distinction by different duty assignments:

This is the second level of a three level series. Independently conducting the full range of technical inspections of industrial and commercial work places distinguish it from the lower level. Not coordinating team inspections of large industrial sites, not developing and conducting statewide training, and not serving as a statewide resource in a specialty area distinguish it from the higher level.

This is the third level of a three level series. The regular design, development and implementation of new analytical methods and procedures involving non-standard tests and advanced procedures distinguish it from the next lower level.

This is the second of a four level series. Independently appraising all components of standard residential, commercial, industrial or utility property to produce a complete appraisal report and to review county appraisal office appraisal and assessment practices for compliance with Oregon law distinguish it from the lower level. Not independently appraising large and complex commercial, industrial, utility and centrally assessed properties and not developing appraisal standards and assessment procedures distinguish it from the next higher level.

- b) In others, the distinctions may be made based on the complexity of the work and level of responsibility. For example:

This is the second of a two level series. Responsibility for a greater variety of accounts and types of payments where it is more difficult to verify amounts received and to allocate monies received to proper accounts distinguish it from the lower level.

This is the second level of a three level series. Greater required technical expertise in operating procedures to do assigned work and independence interpreting and applying rules and policies distinguish it from the lower level. The lack of the regular requirement to analyze different situations to decide which rules, policies and procedures are applicable and greater complexity of assignments requiring in-depth knowledge of operating procedures distinguish it from the higher level.

**If complexity and responsibility are the bases for the distinctions, it is imperative that the Duties and Responsibilities of the classes give the detail of how the distinctions occur.**

## **Duties and Responsibilities**

The Duties and Responsibilities are **examples of duties that illustrate the type and level of work associated with the class**. They give a picture of the work characteristic of the class. They are neither position specific nor all inclusive. In a series where complexity or responsibility distinguishes the work, use common examples in the Duties and Responsibilities of each level. This is to show the differences in the complexity and responsibility of common assignments between levels. Consistent class use requires this information.

Two keys to writing good Duty and Responsibility statements are:

1) Write clearly:

Use an action verb to identify the action done, an object of the verb that specifies to whom or what, and a phrase describing the expected outcome.

2) Avoid the passive voice.

The passive voice (e.g., is recommended, was summarized, were reported) shows an action without an agent. It must be clear who files, who recommends, who summarizes. The content of the recommendation, summary or report also must be clear. Further, follow who does what by the additional details of to whom and for what purpose.

The guidelines for writing duty statements for individual position descriptions apply to writing duty and responsibility statements for a class specification. See Task Examples Using Action Verbs gives examples on writing clear duty statements.

## **Relationships with Others**

This section identifies usual work **contacts outside the work unit**, how the contact occurs, how often and for what purpose. Again, keep in mind that the goal is to portray the general type and level of work. Focus on work contacts that are integral to doing the typical duties and carrying out the normal responsibilities and authorities of the class.

## **Supervision Received**

This section describes controls that govern how the assigned work gets done. In this section, describe the nature of supervision (i.e., how is the work assigned, what are the instructions, when given and for what purpose?). See Glossary of Terms for definition of types of supervision. Also describe available or required guidelines or procedures that regulate the work process or the independence and authority of the class in this section.

## **Supervision Exercised**

This section appears only in class specifications for positions that supervise other employees. In this section describe supervision (direct or through subordinate supervisors), the type of work supervised (professional, technical or support or a combination of these), what the subordinates are generally doing and how the supervision occurs. This section needs to be in concert with examples in the Duty and Responsibilities section.

Some classes have some supervisory elements (e.g., assign and review work of others, input to performance appraisal) that are an important part of the job. These activities should be captured in the Duties and Responsibilities but would not appear in this Section.

## **General Information**

This is an optional section. It's for those elements of the class that are significant but do not fit elsewhere in the specification. Demands of the job, such as overnight travel, flexible work schedules, working outdoors or with hazardous materials, etc., would be included in this section.



## **Knowledge and Skills**

Establishing valid knowledge and skills is important. It is the first step in recruitment. Valid knowledge and skills are the basis for minimum qualifications (MQ's) that an applicant must have to compete for a position. Valid knowledge and skills help recruit qualified job candidates. They also ensure a recruitment process that fairly and legally ranks job applicants.

To set valid knowledge and skills, begin with the duties and responsibilities described by the classification. The knowledge and skills must be job-related and derived from the duty statements. There must be a direct and logical relationship between a duty or task and the knowledge and skills.

As in developing the Duties and Responsibilities component, it is wise to enlist the aid of subject matter experts (SME's). Managers, first line supervisors and job incumbents can best identify the knowledge and skills essential for doing the job.

## **IDENTIFYING AND VERIFYING KNOWLEDGE AND SKILLS**

### **Identifying Knowledge and Skills**

Using the Knowledge and Skills Worksheet may be helpful in establishing the relationship between the tasks and duties of the class and the knowledge and skills.

To use the worksheet, begin by identifying the major duty areas from the Duties and Responsibilities section of the class specification. They should be significant duties or aggregates of tasks. Draw them from those elements of the job that typify the kind and level of work.

List these statements in Column 1 of the Knowledge and Skills Worksheet. In Column 2 of the worksheet, list the knowledge and skills essential to doing the duty statements listed. See Sample Knowledge and Skills Worksheet for a partially completed sample Knowledge and Skills Worksheet.

### **Validating the Knowledge and Skills**

To document the relationship between the duties of the class and the knowledge and skills, the HRSD Classification Analyst will compile a Knowledge and Skills Analysis Form (See Knowledge and Skills Analysis Form Section for an example). The form is then completed by agency SME's (employees, first line supervisors, managers).

From this data, the CA can identify the most important knowledge and skills for the work, eliminate non-essential knowledge and skills and begin developing valid Minimum Qualifications for the class.

## **DEFINITIONS AND FORMAT**

### **Definitions**

**Knowledge** is the understanding of facts, ideas or principles gained by experience, education, training, investigation or observation.

Extensive: a comprehension of all major aspects of the subject area(s). This allows one to solve the most unusual or complex problems in the field. Applicants must come to the job with a comprehensive understanding of the terminology, theory, principles, techniques, materials, tools and equipment. Applicants must have the knowledge to solve independently typical and atypical problems that commonly occur on the job.

General: a comprehension of the subject area(s) sufficient to solve the typical problems common to the field. Applicants must have enough knowledge to understand, be conversant in and able to explain the terminology used. They must have enough understanding of the principles, techniques, materials, tools and equipment to independently solve the typical problems that occur on the job.

Basic: a comprehension of a subject area(s) including the elementary terminology, principles, techniques and their routine application. Applicants must come to the job with enough knowledge to understand the basic terminology used. They must be able to apply principles, techniques, materials, tools and equipment to simple routine problems that occur on the job.

**Skill** is the use of one's knowledge effectively and readily to do either a mental or physical task or process.

We do not use the term "ability" on the class specification. "Ability" denotes a **potential or aptitude** to learn or do something in the future. Our current testing methods do not test for potential or aptitude. They test for present knowledge and skills.

## Format

When identifying and developing knowledge and skills, keep the following in mind:

- A knowledge or skill should identify one simple and readily identifiable item.
- **Include only those knowledge and skills the applicant must bring to the job.**
- Do not include a knowledge or skill learned during trial service or expected to be learned on the job.
- Do **not** include willingness and working environment statements in the knowledge and skills statements.
- Do not paraphrase the duties of the specification in the knowledge and skills statement

- Entry level classes normally have more statements that define knowledge requirements; seasoned classes look for more skills that have been acquired through experience.

**Note:** Knowledge and skills are not part of the Hay evaluation of the class. Too many or inflated knowledge and skills will not raise the salary range of the class. Inflated knowledge and skills hurt upset the relationship of the knowledge and skills to the actual duties. This harms recruitment because you will not attract the right type of applicant for the job.

Format the knowledge and skills in hierarchical order; that is:

- Extensive Knowledge
- General Knowledge
- Basic Knowledge
  
- Skill

Use the following standard blurb for skill in supervision:

"Skill in supervision (e.g., hire, train, assign and review work, motivate, prepare performance appraisals, discipline employees and resolve grievances)."

Sometimes there are positions in a class requiring additional knowledge and skills not required of all positions. List these additional knowledge and skills immediately following the knowledge and skills common to all positions. Preface them with:

"Some positions in this class may require one or more of the following:"

**Note:** If there are many or significant additional knowledge and skills, it may mean that the classification includes jobs that are too diverse and that the proposed job group needs re-evaluating.

## KNOWLEDGE AND SKILLS WORKSHEET

**Class Title and Number:** \_\_\_\_\_

COLUMN 1		COLUMN 2
<p><b>List the major duties/tasks to be done on the job.</b></p>		<p><b>For each duty/task or function, list the knowledge and skills required to do it/them.</b></p>
<p>Asks questions, listens to and records answers on standard eligibility form to gather information to decide client's eligibility for food stamps.</p>		<p>Knowledge of eligibility criteria            Knowledge of interviewing principles and techniques            Skill in data collection by interview            Skill in recognizing conflicting facts            Skill in applying eligibility criteria and procedures for completing forms</p>

<p>Decides eligibility of applicant using regulations and policies as a guide.</p>		<p>Knowledge of food stamp regulatory policies            Knowledge of statutes relating to food stamp program            Skill in reading and understanding complex instructions or policies</p>
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<p>Decides upon, describes and refers client to other resources for assistance.</p>		<p>Knowledge of functions of various other community assistance agencies            Knowledge of community resources            Knowledge of referral procedures            Skill in extracting person's needs from verbal discussion            Skill in giving simple written and oral instruction to individuals</p>
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## KNOWLEDGE AND SKILLS WORKSHEET

**Class Title and Number:** \_\_\_\_\_

COLUMN 1		COLUMN 2
List the major duties/tasks to be done on the job.		For each duty/task or function, list the knowledge and skills required to do it/them.

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## **MINIMUM QUALIFICATIONS**

### **Introduction and Purpose**

So far, this guide has taken you through the steps to develop class specifications. There remains one other important area to discuss. That is establishing the minimum qualifications (MQ's) an applicant must have to qualify for a position in the classification.

The MQ is the basis for recruitment. It sets the minimum training and experience an applicant must have in specific areas to qualify for a position in a particular classification. The MQ also offers insight into developmental training and experience needed for entry into specific occupational areas.

### **Writing the Minimum Qualification**

Once the Duties and Responsibilities are finalized and the Knowledge and Skills of the class specification are validated, an MQ for entry into the classification can be developed.

The MQ should be stated broadly enough to allow all qualified potential candidates an opportunity to compete for the job. Yet it must be restrictive enough to assure that only qualified applicants are included. When in Doubt, write minimum qualification standards broadly to widen rather than restrict the recruitment pool. Although this can cause an increased emphasis on selection it allows for a larger and more diverse applicant pool. The MQ must be based on the occupational qualifications of the class as found in the Duties and Responsibilities and the Knowledge and Skills Section of the Classification Specification. It must also comply with all occupational licensing or certification requirements and align with current industry standards.



## A GUIDE TO REQUESTING CHANGES TO MINIMUM QUALIFICATIONS (MQs)

All Minimum Qualifications are on-line at: <http://www.hr.das.state.or.us/hrsd/class/> . If you wish to make changes to the MQ's for a classification, please submit the **MQ Change Form** in this manual.

This process starts with using the knowledge and skill (KS) statements identified in the class specification document. Use all of the following when developing your request to change the minimum qualifications of a class specification:

- Only the **minimum or basic level** of knowledge and/or skill should be used as an MQ item. (See attached definitions for Knowledge and Skill.)
- Check to find out if there are any legal constraints regarding MQs (e.g., Nurses must have an RN license, Electrician must have an Electrician license, etc.).
- Use our state job class MQs for comparison.

Be careful that the minimum qualification(s) are really the minimum/basic KS's required for the classification, not those desired or at the same level required to perform the job duties.

EEOC guidelines also warn that you must make sure standards do not result in adverse impact on any applicant group.

### DEFINITIONS

**Knowledge:** The understanding of facts, ideas, or principles gained by education, training, investigation, or observation.

**Extensive** - A comprehension of all major aspects of the subject area allowing one to solve the most unusual or complex problems in the field. Applicants must come to the job with a comprehensive understanding of the terminology, theory, principles, techniques, materials, tools, and equipment. They use this knowledge to independently solve typical and atypical problems that commonly occur on the job.

**General** - A comprehension of a subject area sufficient to solve the typical problems common to the field. Applicants must come to the job with enough knowledge to understand, be conversant in, and able to explain the terminology used. They must have a complete understanding of the principles, techniques, materials, tools, and equipment to independently solve the typical problems that occur on the job.

**Basic** - A comprehension of a subject area including the elementary terminology, principles, techniques, and their application to simple problems. Applicants must come to the job with enough knowledge to understand the basic terminology used; apply principles, techniques, material, tools, and equipment to simple routing problems that occur on the job.

**Skill:** The use of one's knowledge effectively and readily in the execution or performance of a task or process either mental or physical.

- A knowledge or skill should identify one simple and readily identifiable characteristic.
- The knowledge and skills are only used for recruiting applicants.
- Include only those knowledge and skills that an applicant is expected to bring to the job.
- Do not include a knowledge or skill learned on the job during the trial service period.
- Do not develop too many or inflated knowledge and skills. This practice causes recruitment announcements to target the wrong applicant pool. The central evaluation team or labor contract managers do not review the knowledge or skills when deciding the point value or salary range.
- Entry-level classifications normally have more knowledge statements than skills.

## MINIMUM QUALIFICATIONS CHANGE REQUEST FORM

Requests to change MQ's for generic classes, classes containing positions in more than one agency, may take longer to process due to the need to coordinate your request with other agencies.

Date: \_\_\_\_\_ Agency: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Class #: \_\_\_\_\_ Class Title: \_\_\_\_\_ Wkg Title: \_\_\_\_\_

# Employees in Agency in this classification and working title: \_\_\_\_\_

Subject Matter Expert(s) in your agency available for contact regarding this classification:

\_\_\_\_\_  
Name Phone Number

\_\_\_\_\_  
Name Phone Number

Is this class part of a career path? Yes \_\_\_\_\_ No \_\_\_\_\_ (Check [ ] one)

If "Yes", give the title and number of class(es) that are part of the same career path.

Proposed minimum qualification change:

Why do you recommend this change?

What are the appropriate substitutions for experience or education?

**Please Submit Additional Information**

- Sample position descriptions supporting proposed change (minimum of one).
- Relevant statutes (if any).
- Additional information you feel is relevant.

To change the Minimum Qualifications of a classification, please complete this form and send it along with all required attachments to:

DAS/HRSD  
Attn: Classification Unit  
155 Cottage Street NE  
Salem, OR 97301

## **GLOSSARY OF TERMS**

**ADMINISTRATIVE:**

Descriptive of work relating to the implementation and execution of policies, rules, regulations, and laws concerning agency programs and operations.

**ADVISE:**

To recommend a course of action; to offer an informed opinion based on specialized knowledge.

**ALLOCATION:**

Placement of a position in an existing and available classification. The process of deciding the class that best depicts the work assigned to the position by matching the purpose, authority, duties and responsibilities of a position to the general description, distinguishing features, and duties and responsibilities of a classification.

**ANALYSIS:**

An examination of a problem, process, or situation, its elements and their relationships by the separation of the whole into its component parts.

**ANALYZE:**

See analysis.

**APPLY:**

To put to use; put into effect or operation.

**APPRAISE:**

To give an expert judgement of worth or merit.

**APPROVE:**

To accept as satisfactory; to exert final authority with regard to commitment of resources.

**ASSEMBLE:**

To collect or gather together in a predetermined order from various sources.

**ASSIGN:**

To give responsibility for the accomplishment of tasks or duties to one or more employees.

**ASSURE:**

To make certain of.

**AUDIT:**

To examine officially with intent to verify; a methodical examination and review of the legality, accuracy or efficiency of procedures, operations, transactions and expenditures.

**AUDIT, DESK:**

An interview with an employee or supervisor to gather information about and verify the duties, authority and responsibilities of a position for deciding the appropriateness or inappropriateness of the position's allocation.

**AUTHORITY:**

The right or power to make decisions and to ensure that they are carried out without the approval of a superior.

**CHECK:**

To verify; to compare with a source.

**CLASSIFICATION:**

The process of organizing positions into categories of work (classes) based on the type of work (occupation) and level of required skill, effort and responsibility so that each position can be given the same title, recruited through substantially the same examination process and given the same salary range.

**CLASS SERIES:**

Two or more classes linked by normal promotional opportunity that do the same type of work but differ in complexity and levels of responsibility.

**CLASS SPECIFICATION:**

The official written source document that describes a type and level of work based on similarity of duties and level of responsibility; having a common title and requiring the same knowledge and skills.

**CLASSIFICATION PLAN:**

All established classes and the procedures for class specification maintenance.

**COMPARE:**

To examine the character or quality of things, processes, procedures, etc. to find similarities and differences.

**COMPILE:**

To put together; to gather from other documents.

**CONSULT:**

To provide technical or professional advice or information in defining, clarifying and improving a program or operation.

**COORDINATE:**

To regulate, adjust, or combine the actions of others to attain harmony; generally includes tracking progress, checking results and insuring that individuals involved are working effectively and efficiently toward a common goal.

**DEVELOP:**

To create from an idea a product or plan designed to get a specified result.

**DIRECT:**

To organize and oversee the activities and procedures of others to achieve program objectives and goals.

**DISCUSS:**

To exchange views for the purpose of arriving at a conclusion.

**ENFORCE:**

To require by authority the observance of, or compliance with, laws, rules, orders, contracts or agreements.

**ENTRY LEVEL:**

The beginning level in a class series in which the employee comes to the job with the minimum qualifications but underfills the first full working level.

**EVALUATE:**

To decide the significance or worth by careful appraisal and study.

**FORMULATE:**

To spell out, formalize or put into words a rough plan; to put into a systematized statement or expression.

**FULL PROFICIENCY LEVEL:**

A level of work at which an employee is carrying out the full range of duties and responsibilities in a field of work under general supervision (also Journey Level).

**IMPLEMENT:**

To carry out; to put into practice (e.g., policies and plans).

**INDEPENDENTLY:**

A manner of performing and completing work without in-process review or assistance of a supervisor.

**INSPECT:**

To compare critically to a standard, quality or the like to identify discrepancies or deficiencies.

**INTERPRET:**

To analyze and apply laws, rules, policies to a given specific set of circumstances. The implication is that the application of the laws, rules and policies is to specific circumstances where the application is not clear cut and requires an element of judgment.

**INVESTIGATE:**

To make a methodical, searching inquiry into a situation to uncover the facts; includes documentation of steps taken.

**JOURNEY LEVEL:**

See Full Proficiency Level.

**KNOWLEDGE:**

The understanding of facts, ideas or principles gained by experience, education, training, investigation or observation.

**MANAGER:**

A person who organizes work or directs its completion through subordinate supervisors. One able to translate plans and policies into effective production. Located organizationally between the administrator and supervisor.

**MEDIATE:**

To interpose with parties to reconcile them; to reconcile differences.

**METHOD:**

A systematic technique or mode of inquiry employed by or proper to a particular discipline or art.

**NEGOTIATE:**

To arrange for or bring about through conference, discussion, persuasion and compromise.



**NONSTANDARD:**

Something for which no established procedure is regularly and readily applied; a task or situation that is not directly addressed by any guideline.

**PERSUADE:**

To influence others to favor a product, service or point of view.

**PLAN:**

To identify the steps and courses of action necessary to reach objectives.

**POLICIES:**

Statements that interpret or amplify the requirements of statutes, Administrative Rules, contract provisions or court actions and influence the approach to and direction of work.

**PRINCIPLES AND PRACTICES:**

The fundamental theory, methods and standards associated with a specific discipline.

**PROCEDURE:**

A particular way of doing something or of acting. A series of steps followed in a regular definite order.

**PROCESS:**

A series of actions or operations leading to an end or product.

**PROFESSIONAL:**

Descriptive of a field of activity, type of work or vocation that requires specialized knowledge typically acquired from college course work at the Bachelor degree level or beyond.

**REPORT:**

A formal written or oral presentation of relevant facts and information resulting from a detailed analysis.

**RESPONSIBLE:**

To be accountable for the successful completion of a work assignment.

**REVIEW:**

To go over or examine critically; see INSPECT.

**RULES AND REGULATIONS:**

Operational guidelines established to ensure the accomplishing of work according to applicable law(s).

**SKILL:**

The use of one's knowledge effectively and readily to do either a mental or physical task or process.

**SUPERVISION, CLOSE:**

To give an employee a work assignment with the procedure, methodology and schedule for completion prescribed. Work may be reviewed while in process or at completion.

**SUPERVISION, GENERAL:**

To give an employee an assignment with the end product and completion date specified. The employee is responsible for the procedure, methodology and work schedule necessary to complete the assignment. Work review is upon completion. Interim review is generally in response to an encountered problem and initiated by the employee.

**SUPERVISOR:**

An individual having authority in the interest of the employing agency to interview, hire, promote, or effectively recommend hire or promotion, assign and evaluate work, discipline employees, fire, respond to grievances, prepare performance appraisals and train employees. Meets the criteria for exclusion from collective bargaining in ORS 243.650(14).

**TECHNICAL:**

Jobs that require specialized practical knowledge. Work usually associated with or supportive to a professional function or occupation.

**TRAIN:**

To teach, demonstrate or guide others to bring them up to a predetermined standard.

**VERIFY:**

Confirm or establish authenticity; to substantiate.