

Individual Classification Audit Process Information Sheet

An audit is requested by an employee and approved by the Appointing Authority after an employee's duties and responsibilities have changed significantly, the new duties are permanent, and the duties have been performed for at least 90 days. The new duties/assignment should include the following:

- The new duties are significantly different from the previous work assignment and the new duties significantly impact the essential functions of the job.
- The level of responsibility, decision making, complexity of the job, and/or the impact of error has changed.
- The new duties are essential to the organization and the employee's position.

Note: If an employee is assigned more duties that are at the same type and level as the previous work assignment, an audit request is not advised (volume or more of the same type of work does not constitute a change in classification but may be a consideration for another position).

When an audit is requested, a Request for Classification Consideration form needs to be completed, signed by the proper individuals as indicated on the form, and submitted to CSA by the Appointing Authority. The following documents/information need to be submitted with the audit request:

- The Performance Enhancement Plan that was in affect prior to the change in type and level of essential functions assigned to the position.
- The current Performance Enhancement Plan for the position.
- The previous and current organization charts.
- A complete list of the new equipment added to the operation, if applicable.
- The previous and current department or agency procedures and/or methodology when applicable.

If supervisory or management duties have been assigned, the following are also required:

- A list of the position numbers, job titles, and employee names of subordinate staff.
- Employees reallocated to a first-line supervisory position must take and pass the first-line supervisor test or equivalent approved training.

When CSA receives the audit request, the request will be reviewed to ensure that all of the aforementioned information is included with the request as applicable. If the information is not attached to the audit request, the audit will be returned to the Appointing Authority. Once all of the information is submitted to CSA, the audit is assigned to an analyst, a letter is sent to the employee, supervisor, departmental HR, and the appointing authority to communicate which analyst is assigned to perform the audit, and the process that will be utilized when the audit is conducted.

When the Appointing Authority requests an audit, there are four possible outcomes. These include the following:

- A position may be upgraded.
- A position may be downgraded.
- A position stays the same classification.
- A position may move to another class at the same pay grade.

The audit is then assigned to an analyst. An analyst has 70 days to complete the audit. The analyst's first step in conducting an audit is to collect data about the duties and responsibilities assigned to the position. This can be accomplished by interviewing the employee and her/his supervisor and/or manager, requesting a Job Evaluation Questionnaire be filled out, reviewing the employee's current and former Performance Enhancement Plan and organizational charts,

gathering work samples, and/or collecting information from other staff members who are familiar with the position and the department/agency.

After the analyst has collected the job analysis data, the analyst writes a summary of findings that describe the duties and responsibilities assigned to the position. It is both the analyst's and the employee's responsibility to ensure that the analyst understands the duties and responsibilities assigned to the employee's position. If an employee/supervisor does not believe that the analyst thoroughly understands the duties assigned to the employee's position, this is the time to discuss any unresolved concerns/issues. It must be noted that the analyst is evaluating the duties assigned to the position not how well the employee performs the assigned duties and responsibilities.

After the findings have been approved by the employee, the supervisor, and/or manager, the analyst reviews and compares the duties assigned to the employee's position with the duty statements listed on related class specifications. The analyst also evaluates the level of responsibility/decision making assigned to the position as well as the impact of error, supervisory/lead/managerial responsibilities, type of supervision the employee receives, and the type and level of communication that is required to perform the job.

After the analyst has determined the proper classification for the audited position, the incumbent, supervisor, manager, Appointing Authority, and agency human resources are notified. When the classification of the position is changed, the employee must meet the minimum qualifications of the new class. As a result of the audit, if the position is to remain the same, be downgraded, or moved to another class at the same pay grade, the analyst will meet with the employee and thoroughly explain her/his decision. If the employee/supervisor/manager does not agree with the analyst's decision, an Administrative Review can be requested. An Administrative Review must be submitted by the Appointing Authority and reviewed by the CSA Director or her/his designee. The outcome of an Administrative Review can result in sustaining, changing, or modifying the analyst's recommendation. Additionally, an analyst can assist a supervisor/manager determine what duties within the agency/department could be assigned to the employee's position that would help with the employee's career growth. (For more information, see Rule 7, Classification and Pay Plan).

When the classification of a position is changed, the employee's pay moves to the closest matching step in the new pay grade without loss in pay. If the employee's pay is higher than the last step of the new pay range, the employee's pay remains frozen until the range structure catches up to the employees' pay. If the employee's current pay rate is less than step one of the new class, the employee will move to step one.

Note: If an employee believes that the duties assigned to her/his position has changed significantly and the Appointing Authority declines to submit an audit, the employee can petition the Appointing Authority and the Director of Career Service Authority. The Director of CSA can elect to have the employee's position audited.

CSA encourages employees/supervisors/managers who need assistance filling out the audit form or who have questions, to contact the Classification Unit at 720-913-5726.

REQUEST FOR CLASSIFICATION CONSIDERATION

Only the Appointing Authority may submit requests for classification consideration. Requests must be submitted to Career Service Authority within six months from the date the duties were assigned. An Appointing Authority may submit a request for classification consideration if significant and permanent changes have gradually been made in the level and/or kind of essential duties and responsibilities; or an operational change has been implemented (a complete or partial reorganization, significant additions of new equipment or substantial changes in methods or procedures). **Requests for classification consideration shall not be used as an alternative to promotion or a substitute for discipline.**

The Appointing Authority must demonstrate how the essential duties have changed by completing the information requested below and attaching copies of:

- The Performance Enhancement Plan that was in affect prior to the change in type and level of essential functions assigned to the position.
- The current Performance Enhancement Plan for the position.
- The previous and current organization charts.
- A complete list of the new equipment added to the operation, if applicable.
- The previous and current department or agency procedures and/or methodology when applicable.

If supervisory or management duties have been assigned, the following are also required:

- A list of the position numbers, job titles, and employee names of subordinate staff.
- Employees reallocated to a first-line supervisory position must take and pass the first-line supervisor test or equivalent approved training.

Date Submitted: _____ Dept. or Agency: _____

Position #: _____ Present Classification: _____

Date the new duties were assigned: _____ By whom: _____
(Name and Classification Title)

Describe what significant and permanent **changes** have occurred in the type and level of essential duties and responsibilities assigned to this position:

Indicate the percent of time or the number of hours on a weekly basis that are required to perform the new duties and responsibilities:

Describe why you feel the current classification of this position is no longer proper:

List the classification title that you feel is appropriate for this position:

