Allocation Guidelines/Position Allocation (Determining)

Policy

It is the policy of the DGS to administer the Personnel Classification Plan of the State of California including the allocation of every position to the appropriate classification in the classification plan.

The Classification and Pay (C&P) Analyst shall use allocation guidelines (if existing) or classification specifications to derive from, and be determined by the duties and responsibilities of the position and shall be based on the principle that all positions shall be included in the same classification if:

- the positions are sufficiently similar in respect to duties and responsibilities that the same descriptive title may be used,
- substantially the same requirements as to education, experience, knowledge, and ability are demanded of incumbents,
- substantially the same tests of fitness may be used in choosing qualified appointees, and
- the same schedule of compensation can be made to apply with equity.

Definition

Allocation guidelines are work requirements/characteristics that can be compared in order to measure the similarity/differences in evaluating the level of jobs.

Purpose

The purpose of utilizing the allocation guidelines and determining the appropriate classification allocation is:

- To supplement and clarify the classification specification, as needed.

- To differentiate between the various working levels in a classification series.

- To ensure the consistency of how a particular classification or classifications are allocated and used in various State departments.

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Allocation Guidelines/Position Allocation (Determining), Continued

Position allocation

A request to use another department-specific classification is considered an exceptional allocation and requires CalHR approval via the 625 process. It is appropriate for departments to seek a courtesy approval from another department; however, CalHR will make the final allocation decision.

Prerequisites

There are three pre-requisites to determining position allocation:

- The position is set up (approved) in the budget,
- Duties are assigned to the position,
- The position's organizational placement and relationship are defined.

Criteria

There are two key criteria used to differentiate between positions:

- Type of work, and
- Difficulty of work, which may be one of the following levels:
  - Entry
  - Journey
  - Advanced journey (typically staff specialist positions)
  - Working supervisor
  - Line supervisor
  - Managerial

Basic steps

There are four basic steps in the allocation process:

1. Obtain/gather the pertinent facts, which include:
   - Activities of an organization
   - Organization structure, authority relationships
   - Class concepts and usage
   - Duties and responsibilities assigned to the position
2. Analyze the facts
3. Evaluate the facts
4. Determine the facts

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Allocation Guidelines/Position Allocation (Determining), Continued

Allocation factors

- Through the use of allocation factors, a position can be broken down into its component parts to be examined in order to determine the appropriate level/classification.
- Allocation factors give precision to general and ambiguous terms such as: assist, prepare, supervise, review, complex, etc., which are terms that may be contained in the specification.
- Determinations of the degree of difficulty or complexity of the duties and the weight of the responsibilities of a position are conclusions drawn from facts showing the nature of the duties performed, the methods of work involved, the authority exercised, and a variety of other circumstances under which the work is performed.

Procedure

The following table depicts the steps and actions required when appropriately allocating a position.

Note: The Information Technology Services Section (ITS) must review and approve requests for personnel action (RPA) for all information technology (IT) positions funded by another office that report to ITS, which are Division of the State Architect (DSA), Office of State Publishing (OSP), Office of Public School Construction (OPSC), and Professional Services Branch (PSB). Only functional changes to positions that are funded by an office and do not report to ITS require ITS approval (applicable offices are Office of Human Resources (OHR), Office of Fleet and Asset Management (OFAM), and Procurement Division (PD).

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>C&P Analyst receives a Request for Personnel Action (RPA), which must contain:

• Justification
• Essential functions duty statement
• Organization chart
<table>
<tr><th>If</th><th>Then</th></tr>
<tr><td>Reclassifying position</td><td>Include both current and proposed:

• Essential functions duty statements
• Organization chart</td></tr>
<tr><td>Requesting review of position PRIOR to submitting RPA</td><td>Position may require desk audit (see Desk Audit section in this manual)</td></tr>
</table>
</td></tr>
<tr><td>2</td><td>C&P Analyst gathers classification specification, allocation guidelines and other available documentation in order to conduct analysis, which may include:

• Previous desk audit
• DPA audit
• Board Item
• Duty statement from another department similar in size and responsibility as the DGS</td></tr>
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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>3</td><td>C&P Analyst analyzes the data gathered in step 2. When reviewing duty statements to determine appropriate allocation the following fundamental classification factors should be identified:
<table>
<tr><th>Factor</th><th>Questions to Ask</th></tr>
<tr><td>Tests of fitness needed to evaluate probable success in the position</td><td>• Can the same testing procedure be used to evaluate the candidates for this position as for other positions? If it exists, review the job analysis conducted by the Selection Unit (found on the "S" drive)</td></tr>
<tr><td>Education, experience, skills and abilities required (subject matter of the work and the nature of the problems to be solved are indicative of the educational background, and the degree of, skill, mental and analytical ability the individual must bring to the job)</td><td>• What kind and what minimum of education and/or experience are needed for reasonable success in the position?</td></tr>
<tr><td>Supervision and guidelines received (refer to Section 170 of the C&P Manual with respect to the meaning of the terms "under supervision," "under general supervision," "under direction," etc.). This factor measures the extent to which tasks performed, actions taken, and decisions made are controlled or limited by supervision or by established law, policy, procedures, guidelines, or technical practices.</td><td>• From whom does the employee receive instruction?
• What type of instructions are they and how general or detailed; are they written or verbal?
• How is the employee's work controlled; by manuals, rules, regulations and policies?
• How much initiative is allowed the employee in planning his/her work?
• Is his/her work reviewed during process or only upon completion?
• Is his/her work given technical review or is it reviewed only for compliance with administrative matters?</td></tr>
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</td></tr>
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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>3</td><td>Continued
<table>
<tr><th>Factor</th><th>Questions to Ask</th></tr>
<tr><td>Supervision exercised measures the nature and extent of the authority and responsibility for the supervision of the work of others. This is reflected by the scope and variety of activities covered; the amount of planning, organizing, directing, assigning work, instructing, training, and disciplining employees required. The number of employees may be used as a guide to differentiate between different supervisory levels (see Section 170 of the C&P Manual with respect to different terminology such as "to have technical supervision," "to supervise," "to direct," "to plan, organize and direct," etc.)</td><td>• What is the number and class level of employees supervised?
• What is the complexity of the structure of the organization supervised?
• What is the employee's responsibility for organization of work, workflow, and methods of operation?
• What is his/her responsibility for work production and meeting deadlines?
• What type of review does the employee make of others work---detailed, general, technical, policy, or administrative?
• What is the employee's responsibility for control over the objectives and purpose of the work supervised and the form and quality of the end product?
• What is the extent of his/her formulation of policies and the scope of these policies (managerial designation)?
• What is the extent of his/her responsibility in selecting and assigning employees?
• What general management responsibilities does s/he have (supplies, equipment, budgeting)?
• To what extent does the position instruct, train, and/or discipline?</td></tr>
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</td></tr>
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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>3</td><td>Continued

<table>
<tr><th>Factor</th><th>Questions to Ask</th></tr>
<tr><td>Variety, scope and complexity refers to the number of tasks that make up a position and distinguishes between full-journey and super-journey levels (i.e., associate and staff specialist)</td><td>• Are assignments made to the employee selected on the basis of difficulty or are they general assignments covering a variety of types and levels of difficulty?
• If there is a variety of tasks assigned, which are the more difficult (audits of individuals vs. audits of large corporations)?
• What proportion of time is spent on routine and the more difficult tasks?
• Are the various tasks each of a recurring type or do they present non-repetitive problems?
• Are the various tasks in the same or related subject-matter fields?
• To what extent are plans or actions initiated, developed, or decided upon by the employee?
• What analytical and problem solving skills are required?
• What is the status of work or state of development of a problem when first presented to the employee?</td></tr>
<tr><td>Initiative and originality required (test on complexity)</td><td>• How much initiative is given the employee in deciding how to accomplish his/her assignment?
• During process of the work, how much and what type of review is given to the work?
• Is the employee required to devise new work methods or procedures?
• Does s/he adapt existing methods to fit the assignment?
• Does s/he work out solutions to problems for which no existing solution exists?
• Does s/he analyze and evaluate the recommendations of others in relation to the above?</td></tr>
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</td></tr>
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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

Step	Action
3	Continued

Factor	Questions to Ask
Authority to make commitments, responsibility of decisions	• What decisions does the employee make that are not reviewed by others? • If his/her decisions are reviewed, what is the type and extent of this review? • What types of problems are these and how important are they? • What is his/her responsibility for recommendations on agency problems and policy? • How final are his/her decisions and recommendations in relation to the functions of the agency?
Consequence of errors, inadequacies, omissions, or wrong decisions in employee's recommendations and decisions	• What is the impact of error (e.g., time, inconvenience, inefficiency, money, equipment, health, or life and death)? • What is the scope of the error (i.e., is the error strictly internal or does it affect other units, the public or both)? • What is the probability for error to occur (i.e., is there frequent and/or detailed review of work)? • What is the degree of difficulty in correcting or reversing the error?

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

Step	Action
3	Continued

Factor	Questions to Ask
Personal contacts and relationships with others measures type of contact required (employee's own supervisor vs. department director or outside public officials); scope of the subject matter dealt with in the contacts (explaining straightforward procedures vs. negotiating procedures and policies); and the tact poise, persuasiveness, skill required in the contact	• What contacts does the employee have with others? Within the agency? Outside the agency? • What is the purpose of the contacts? • What type of subject matter is dealt with? • Is it simple, complex, broad, narrow, controversial? • What conditions make it easy or difficult to accomplish these contacts? • During these contacts does the employee have authority to make official commitments? • What level of skill is required for contact (tact, poise, persuasiveness, etc.)?
Working conditions/environment refers to the physical characteristics/surroundings of the job that make specific demands upon a worker's capacity	• Where is the work location (inside, outside, or both)? • What machines, tools, equipment are required to be operated? • What are the special physical demands (climbing, lifting, bending, stooping, standing, sitting, etc.)? • Is the position exposed to noise or vibration? • Is the position exposed to special hazards or dangers? • What are the atmospheric conditions?

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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>3</td><td>Continued
<table>
<tr><th>Factor</th><th>Questions to Ask</th></tr>
<tr><td>Area of responsibility refers to the geographic or program area over which the position has responsibility</td><td>• Does the position have statewide or regional responsibility for a given program?
• Is the position in headquarters setting with department-wide responsibility vs. in an institutional setting?</td></tr>
<tr><td>Administrative responsibility measures the extent to which the position is involved in administrative tasks</td><td>• Does the position develop and monitor program goals and objectives?
• Does the position develop and monitor the program budget?
• Does the position perform personnel, contracts, and business services related activities?</td></tr>
<tr><td>Sensitivity</td><td>What is the degree of public, media, and legislative interest and concern in the position?</td></tr>
</table>
</td></tr>
<tr><td>4</td><td>The C&P Analyst evaluates the data derived from step 3. Note: The tasks performed must be at least 51% of the appropriate or identified classification.</td></tr>
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Allocation Guidelines/Position Allocation (Determining), Continued

Procedure
(continued)

Step	Action
5	The C&P Analyst determines the appropriate allocation and notifies the Personnel Liaison (PL)

If	Then
The documentation (task statements are ambiguous or incomplete, reporting relationships are unclear, or any of the factors discussed in step 3 are unanswered	The C&P Analyst shall contact the office to obtain the required information
The position does not appear to meet the allocation standard for the class	The C&P Analyst will contact the office to discuss alternatives such as • Changing duties and responsibilities of the position to meet the allocation requested • Determine if the duties and responsibilities of the position meet the allocation standards of another class • Determine if a new class is needed
The position meets the allocation standard for the class	• The C&P Analyst will inform the Personnel Liaison (PL) the request is approved.

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Allocation Guidelines/Position Allocation (Determining), Continued

Can OSSI supervise OT

In accordance with the Allocation Guidelines for the Office Assistant/Office Technician (OT) series, under normal circumstances, the OT **should not** be supervised by an Office Services Supervisor I (OSS I).

The OSS I is the working supervisory level and in addition to supervisory responsibilities, may personally perform the most complex work. Since the OT also performs the same level of duties, it would not be good personnel management practice to have one employee supervise another employee at the same level of responsibility.

Exception: CalHR staff have indicated that when there is a business necessity and both positions are properly allocated, it is possible for an OSS I to supervise an OT. An example of this would be if a department or the staffing in a particular unit is very small. However, in most situations, this should be avoided when possible. **Exceptions will require written justification from the program to the appropriate Classification and Pay (C&P) analyst for review. After review by the C&P analyst, the request will be forwarded to the C&P Manager for approval prior to a commitment being made.**

Reminder: Salary alone does not equate to the level of responsibility. There are a number of classifications compensated at a higher level than the classification which supervises them.

Associate analyst

Incumbents perform a wide variety of consultative and analytical staff services assignments such as program evaluation and planning; policy analysis and formulation; systems development; budgeting, planning, management, and personnel analysis. Associate positions typically have major responsibility for complex functions in a non-supervisory capacity. Positions do not normally exceed this level unless they have substantial supervisory responsibilities.

Analysts at this level typically work independently and perform the full range of complex and difficult analytical work. Positions at this level are characterized by the following criteria:

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Allocation Guidelines/Position Allocation (Determining), Continued

Associate analyst (continued)

1. regularly performs full journey analytical work[1] of a highly-complex nature
2. identifies problems or inefficiencies within a given system
3. develops processes and timetables for implementation of new programs
4. conducts studies, writes reports, and presents alternatives and recommendations to management
5. contacts managers from other agencies to collect information
6. regularly works with high-level administrators to resolve difficult problems within the analyst's scope of responsibility
7. provides formal training to large groups
8. represents and conveys the interest of the program or department to other agencies
9. makes formal presentations to large audiences describing assigned program(s)
10. leads a small group of technical and clerical staff members
11. may act for immediate supervisor during supervisor's absence

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[1] Definition: The accumulation of information or data according to generally established criteria from source documents or persons, restructuring or combining information into new information useful for decision making, writing of narrative descriptions of the information, and applying the information to established criteria to develop recommendations or approve actions in accordance with established standards; involves substantial responsibility for problem definition, the development of a unique project plan, identification of alternative solutions, implementation of the desired course of action and monitoring results; involves independent or lead responsibility for one or more of the following functions:

a. Developing program policy on a statewide basis (developing means conducting or coordinating a project to provide a recommendation for management review)
b. Providing total (fiscal, organization, staffing, conformance with policy, etc.) program evaluation or audits for a geographic area of the State, a particular program area statewide, grant projects or contracts
c. Developing new program models, systems or evaluation tools on a statewide basis, or as pilot projects with intent to use on a statewide basis
d. Developing legislation or legislative bill analysis, including the maintaining of contacts with legislative staff
e. Developing program analysis methods, management information systems, and planning systems
f. Providing total program evaluation in a major staff services function for a small State department or an organizational or geographical segment of a large State department

Allocation Guidelines/Position Allocation (Determining), Continued

Associate analyst (continued)

Exclusions:

1. work which involves the application of laws, rules, or regulations, or resolution of complaints or inquiries, in individual cases does not constitute associate level analytical work. Associate level work is usually found where policy and standards for individual case evaluation are developed
2. acting as a coordinator for the development of analytical products by others does not constitute associate level analytical work unless the contribution and responsibility of the position is sufficient to independently meet the appropriate criteria

Additional considerations: all technical/analytical personnel are expected to be able to explain and defend their work. The fact that an individual is expected to explain and defend their work to external agencies, public groups, individuals or high-level officials does not, in itself, warrant a higher allocation than the work content would justify.

SSM series specialist

Discussion regarding allocation to an SSM specialist is located at: http://www.documents.dgs.ca.gov/ohr/pom/CBID.doc

Managerial, policy-influencing defined

Managerial employees must meet the criteria of:

1. a significant role in putting policies into effect
2. a significant role in monitoring policies to ensure compliance
3. possess the authority through independent judgment to enlarge or narrow policy application beyond standard operating procedures

Policies are usually based upon accepted, well-defined norms/standards of practice and clinical guidelines. Policies and procedures may also be based on professional recommendation or consensus when standards or guidelines are not available. Procedures delineate the processes and activities necessary to implement policies; in other words, the day-to-day operations.

The following questions should be answered to determine if the position can be allocated to a managerial position.

Does the policy pertain to departmental mission or administrative function such as personnel, budgets, etc.?

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Allocation Guidelines/Position Allocation (Determining), Continued

Managerial, policy-influencing defined (continued)

2. Who is impacted by these policies?
3. Does the position develop, recommend or make final decisions regarding the adoption of the policies?
4. Is the position responsible for the implementation of the policies and programs related to basic departmental mission accomplishment?
5. Is the position assigned decision-making authority over a clearly defined and distinct program area?
6. Is the position recognized as the State expert in the program?
7. Is the position given discretion to act for the department Director with only general direction from top management?
8. Do the policies broadly prescribe a future course of action, guideline, principle, or procedure?
9. Do the policies prescribe the internal management of an agency?

Resources

The following table depicts the various resources available regarding allocation guidelines.

Resource	Section
Classification and Pay (C&P) Guide	155, 170, 180, 300-399
CalHR Policy Memohttp://www.calhr.ca.gov/state-hr-professionals/Pages/policy-memos.aspx	PML 2007-026
Law and Regulation http://leginfo.legislature.ca.gov/faces/codes.xhtml;jsessionid=ec740fb92d7f258ccc38ebd5c0c9 http://weblinks.westlaw.com/toc/default.aspx?Abbr=ca%2Dadc&Action=ExpandTree&AP=I1CF57861D48D11DEBC02831C6D6C108E&ItemKey=I1CF57861D48D11DEBC02831C6D6C108E&RP=%2Ftoc%2Fdefault%2Ewl&Service=TOC&RS=WEBL12.10&VR=2.0&SPa=CCR-1000&pbc=DA010192&fragment#I1CF57861D48D11DEBC02831C6D6C108E	GC 19818-19818.21, 3513(e)
Memo of Understanding (MOU) http://www.calhr.ca.gov/state-hr-professionals/Pages/bargaining-contracts.aspx	Refer to applicable MOU
Responsible Control Agency and Program	CalHR
Other:	
Essential Functions Duty Statement Preparation and Construction Manual Personnel Operations Manual CBID	http://www.documents.dgs.ca.gov/ohr/GuidesManuals/EFManual10-05Revise.doc http://www.ohr.dgs.ca.gov/Personnel/POM-TOC.htm http://www.documents.dgs.ca.gov/ohr/pom/CBID.doc