DEPARTMENT OF CORRECTIONS

Policy Number: 103.010
Title: Job Classification and Position Review
Effective Date: 5/19/20

PURPOSE: To ensure consistency in the administration of the job classification function in the Minnesota Department of Corrections (DOC) in accord with applicable provisions of law, rules, policy, procedures, collective bargaining agreements and plans, and human resources (HR) practices, per the signed delegation agreement between the department and Minnesota Management and Budget (MMB), to ensure employees are provided with fair, merit-based job classification and vacancy-filling processes and equitable compensation and benefits.

APPLICABILITY: Department-wide

DEFINITIONS:
Allocation – the assignment of an individual position to an appropriate classification on the basis of the kind, difficulty, or responsibility of the work performed in the position (Minn. Stat. § 43A.02, subd. 3).

Allocation factors – job responsibilities and requirements that can be compared to measure the similarity among positions in kind and level of work and evaluate the level sufficient to assign a position to a single classification.

Change in allocation – reclassification of a position resulting from abrupt, management-imposed changes in the duties and responsibilities of a position (Minn. Stat. § 43A.02, subd. 9).

Classification (class) – one or more positions sufficiently similar with respect to duties and responsibilities that the same descriptive title may be used with clarity to designate each position allocated to the class, and that the same schedule of pay can be applied with equity to all positions in the class under the same or substantially the same employment conditions (Minn. Stat. § 43A.02, subd. 11).

Class specification – a brief, general description of the concepts attributed to a class, including class title, kind of work, nature and purpose, examples of work, and required knowledge, skills and abilities.

Delegated authority – the responsibility and accountability given to the department HR director by the MMB commissioner to perform certain classification, compensation, selection, and/or appointment functions.

Hay rating – a rating utilizing the Hay Guide Chart-Profile method of job evaluation, which uses numeric tables to compare jobs to determine their relative worth/value within an organization based on know-how, problem solving, accountability and working conditions; a copyrighted product of Hay Group®.

Hay study – a formal evaluation of a position or group of positions by a panel of trained State of Minnesota Hay raters, which is conducted to determine the appropriate Hay rating of a position or positions. A Hay study may be conducted when there is no existing, appropriate job class for the position(s); to determine or resolve a dispute regarding the level of the position(s); and when the position(s) is(are) part of a class study.

Job audit – a review conducted by HR or MMB to determine the appropriate class of a position. A job audit is required to establish a new position in either the classified or unclassified service; reclassify a filled or vacant position; and convert a temporary, unclassified position to the classified service.

Reallocation – reclassification resulting from significant changes over a period of time in the duties and responsibilities of a position (Minn. Stat. § 43A.02, subd. 35).

PROCEDURES:

A. Job Classification

1. Requesting a job audit

A supervisor/manager must request a job audit to create a new position in the classified or unclassified service; when significant changes occur in the kind, difficulty, or responsibility of work assigned to an existing position; and to convert an unclassified position to the classified service in the same or different class.

a) To initiate a job audit request, the supervisor/manager must submit a completed HR Transaction Request Form (TRF), which is located on the iShare Staffing page, to the human resources (HR) staffing unit in DOC central office, along with the following documentation:

(1) A position description in the current DOC position description format that accurately reflects the current purpose, reportability, dimensions, responsibilities/tasks, priorities, discretion levels, percentages of time, relationships, knowledge, skills and abilities, problem-solving and freedom to act of the position to be reviewed. A former position description should also be submitted for job audit requests to reclassify or convert filled positions and to change the allocation of a vacant position.

(2) Information detailing what is being requested and the reasoning behind the request by completion of the TRF questionnaire related to the type of job audit request.

(3) A current organization chart that accurately reflects the reporting structure of the work unit and includes the incumbent name, class, and position number of each position in the work unit.

b) An employee may request a review of the class of their position by submitting a written request to the HR staffing manager. The written request must include:

(1) A signed position description in the current DOC position description format that accurately reflects the current purpose, reportability, dimensions, responsibilities/tasks, priorities, discretion levels, percentages of time, relationships, knowledge, skills and abilities, problem-solving, and freedom to act of the position to be reviewed. A former position description must also be submitted, if available.

(2) Information from the employee detailing what is being requested, what changes have occurred to the responsibilities of the employee's position, and reason(s) why the responsibilities have changed.

(3) A current organization chart, if available from the supervisor, that accurately reflects the reporting structure of the work unit and includes the incumbent name, class, and position number of each position in the work unit.

c) The assigned HR staffing representative must ensure a vacant position is properly allocated, prior to beginning the vacancy-filling process, by comparing the position description to the class specification(s), if available, and/or to comparison position

descriptions, and discussing concerns with the HR staffing supervisor/designee and the requesting supervisor/manager as necessary.

d) HR retains vacancy filling documentation in accordance with the HR records retention schedule.

2. Conducting the job audit

The HR staffing unit performs the following steps during the job audit of the position, in accordance with delegated authority related to classification:

a) Clarification

Gather and clarify information regarding the position and the changes that have occurred, if applicable.

b) Analysis

Evaluate the written information prepared by the incumbent employee, the employee's or position's supervisor, and/or the appointing authority. Make comparisons with class specifications/series guidebooks, allocation factors, similar positions within the department and/or in other state agencies, MMB and DOC class clarification files and resources, and/or Hay ratings.

c) Determination

Make a decision regarding the kind and level of work, the appropriate class, and the applicable appointment type. Determine how and why any changes to the position occurred, if applicable, by determining whether the end result is a change in allocation or reallocation.

d) Document the job audit determination.

e) The HR staffing supervisor or designee must conduct a quality assurance review on non-routine classification decisions, in accordance with MMB audit guidelines.

3. After the audit is complete

a) MMB Labor Relations and Bureau of Mediation Services (BMS) Notice

The HR staffing unit must refer to MMB Administrative Procedure 6, "Bargaining Unit Changes" to determine when notice to MMB Labor Relations and BMS is required; what documentation must be submitted; when the classification decision may be processed; and any employee notice requirements.

b) Properly Documented Date

The HR staffing unit must determine the date a job audit request is properly documented, upon or after receipt in HR, in order to calculate back pay allowed in reallocations to a higher class. A properly documented request includes an accurate position description, organization chart, and rationale for reallocation to a higher class.

c) Effective Date

The HR staffing unit must determine the effective date of the classification decision to be entered in the SEMA4 system. In general, the employee's classification seniority date corresponds with the effective date of the classification decision for a job audit resulting in a reallocation to a higher class or conversion to the classified service.

d) HR retains job audit documentation in accordance with the HR records retention schedule.

4. Communicating the job audit decision

a) If the job audit outcome is the same as the requested job class, the HR staffing unit notifies the requesting supervisor/manager of the audit outcome and sends an appropriate appointment memo to the incumbent employee (if applicable).

b) If the job audit outcome is different than the requested job class, the HR staffing unit notifies the requesting supervisor/manager of the audit outcome and provides rationale for the classification decision. If applicable, the requesting supervisor/manager must notify the incumbent employee of the job audit outcome within seven days in order to provide ample time for review and appeal. For employee-initiated job audit requests, the HR staffing unit notifies the incumbent employee of the audit outcome, and provides a copy of the notice to the employee's supervisor/manager.

c) A copy of the reallocation outcome notice to the requesting supervisor/manager or incumbent employee must be retained in the employee's personnel file and in the HR staffing unit job audit file (if the reallocation outcome is different than what was requested).

5. Appealing the Job Audit Outcome

a) The requesting supervisor/manager or incumbent employee affected by a job audit determination may submit a written appeal to the HR director within 30 days of receiving the job audit outcome notification.

b) The appeal must state reasons for the protest and rationale for any alternative proposed. To warrant reconsideration, the appeal must include new material and exhibits relative to the class of the position. New material or exhibits may include a signed position description, work product samples, or other relevant information. New material or exhibits will not be considered if submitted after 30 days of the job audit outcome notification.

c) If the new information causes a change in the job audit determination, the date of receipt of that information must be used in determining back pay eligibility under collective bargaining agreements and plans, if applicable.

d) An HR staffing unit representative, who was not the original job auditor, reviews and provides a recommended outcome in writing to the HR director.

e) The HR director responds in writing to the appeal with the final classification decision.

f) The appeal response must be retained in the HR staffing unit job audit file and in the incumbent employee's personnel file (if applicable).

6. Requesting a Hay Study

a) Requests for a Hay study must be documented in writing and submitted through the chain of command to the applicable DOC assistant or deputy commissioner. The written request must include the reasons for requesting a Hay study.

b) If the assistant or deputy commissioner supports further review of the request, the request is sent to the HR staffing manager.

c) HR staffing convenes a meeting with the assistant and deputy commissioners and HR director to discuss the request, determine whether the request is supported, and decide the priority of the request in relation to other Hay study requests.

d) HR staffing coordinates, facilitates, and documents the outcome of the Hay study process for the position(s), according to the priority order set by the assistant and deputy commissioners and HR director.

e) HR staffing convenes a meeting with the assistant and deputy commissioners and HR director to discuss the results of the Hay study and determine next steps.

f) HR staffing provides the documentation of the Hay study outcome to MMB, along with any resulting request(s) approved by the assistant and deputy commissioners and HR director.

B. Internal Position Control Review

1. Supervisors/managers must review position descriptions annually with employees to ensure they accurately reflect current responsibilities and submit an updated and signed position description to their designated HR transactions aide in the HR staffing unit at least every three years in accordance with MMB Administrative Procedure 20. Principal responsibilities in position descriptions, which are designated as Priority A, are considered to be essential job duties in accordance with the Americans with Disabilities Act (ADA).

2. Supervisors/managers must consult with the HR staffing unit when significant changes occur or are planned to occur to the responsibilities and/or reporting relationship of an employee's position to determine whether or not to conduct a job audit of the position.

3. When a supervisor/manager requests to fill a vacant position, the HR staffing unit must ensure the position is properly allocated prior to beginning the vacancy-filling process. If the vacant position is not properly allocated, the HR staffing unit must discuss the class of the position with the requesting supervisor/manager, work with the supervisor/manager to make changes to the position description if applicable/appropriate, and/or complete a job audit of the position to determine the appropriate class.

4. Regional HR staff must refer all inquiries from supervisors/managers regarding classification and job audits to the staffing supervisor or designated staffing representative.

5. Regional HR staff must collaborate with the facility appointing authority/designee to recommend the number of essential security staff needed for full coverage.

6. Regional HR and financial services staff must review the report of vacant position numbers at least every other month to determine the positions to maintain and abolish and to determine or change the SEMA4 system intend to fill date of the vacant positions. The regional HR staff person sends updates to the report to the HR transactions aide to update the position information in the SEMA4 system.

INTERNAL CONTROLS:

A. HR retains vacancy-filling documentation in accordance with the HR records retention schedule.

B. HR retains job audit documentation in accordance with the HR records retention schedule. A copy of the reallocation outcome notice to the requesting supervisor/manager or incumbent employee is retained in the employee's personnel file.

C. The documentation of the review and decision by regional HR and financial services staff of the report of vacant position numbers is stored in the SEMA4 system.

ACA STANDARDS: 2-CO-1C-01 (BP 3), 2-CO-1C-06, 2-CO-1C-13, 4-4048 (BP 2), 4-4051, 4-4052, 1-ABC-1C-02 (BPs 2, 3, and 4), 1-ABC-1C-10, 1-ABC-1C-20, 4-APPFS-3A-11, 4-APPFS-3E-02, 4-APPFS-3E-08, 4-APPFS-3E-09, 4-JCF-6C-01, 4-JCF-6D-10, 4-JCF-6D-01 (BPs 3 and 4).

REFERENCES: Minn. Stat. Chapter 43A, and especially §§ 43A.02; 43A.07; 43A.08; 43A.15; and 43A.17, subd. 1;
Minn. Stat. § 179A.03, subd. 17.
MMB Administrative Procedure 6, "Bargaining Unit Changes"
MMB Administrative Procedure 7, "Maintenance of the Classification Plan"
MMB Administrative Procedure 10A, "Requisition, Referral, and Selection"
MMB Administrative Procedure 14, "Appointments"
MMB Administrative Procedure 15.6, "Transfers/Demotions/Promotions"
MMB Administrative Procedure 20, "Job Clarification/Performance Appraisal"
Collective bargaining agreements and compensation plans
Americans with Disabilities Act
DOC Policy 103.006, "Supervision and Monitoring"
DOC Policy 103.007, "Juvenile Facility Staffing Plans"
DOC Policy 103.018, "Performance Management System"

REPLACES: Policy 103.010, "Job Classification and Position Review,"8/20/19.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: Job Audit Quality Assurance Guidelines (103.010A)
Link to information on the Corrections Agent Senior promotional process
Link to information on the Corrections Agent Career promotional process
Link to information on the Corrections Security Caseworker Career promotional process

APPROVED BY:
Deputy Commissioner, Community Services
Deputy Commissioner, Facility Services
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