

Chapter 6

Procedures

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Position Classification Procedures

Classification Considerations

Prior to submitting a classification request, there are several questions that should be addressed, such as:

- Is there an existing vacant item already classified in the title? Check NYSTEP reports. If a vacant position does exist, it should be used.
- Are there any earmarks on positions that currently exist in the same title? If so, these positions should be evaluated in consultation with C&C to see if they can be used.
- Has a position already been classified to perform the duties and if so, where is that position currently assigned?
- Do you have fiscal approval to fill the position if approved?
- How will this action affect other positions in the immediate work unit or elsewhere in the organization?
- If requesting the reclassification of a filled item, is the incumbent eligible for appointment to the new title?

Elements Not Considered Classification Factors

Often program managers will ask the Personnel Office to prepare a classification request to address an issue or factor that does not provide a technical basis on which to classify or reclassify positions. These include:

Recruitment Difficulty

Difficulty recruiting in certain geographic locations is often cited as a rationale for needing a higher salaried position. In such cases the possibility of using a Special Salary Treatment such as a Geographic Pay Differential should be discussed with your Classification and Pay Analyst. Additional information on Special Salary Treatments can be found in Chapter 9 of this manual.

Inappropriate Comparisons

It is not appropriate to compare the item that is being requested with other positions in the same title that are improperly assigned or classified.

Employee Eligibility:

- The employee has passed an examination for a higher graded position.
- The individual possesses qualifications that exceed the minimum qualifications required to perform the assigned duties.

Employee Productivity:

- Unusual diligence or hard work.
- Volume of work produced by an employee.
- Relative efficiency of the employee.

Seniority:

- Length of service or seniority.
- Approaching retirement.

Financial:

- The employee has reached the top of the salary grade.
- Financial need.

Position Classification Transactions

There are two broad categories of position classification transactions, referred to as “Short Form” and “Long Form” transactions. The nomenclature reflects whether or not a requesting agency is required to attach formal documentation at the time the transaction is submitted (Long Form) or only when the transaction is audited (Short Form). New positions and reclassifications of existing positions can be requested in one of these two ways, provided the following criteria are met:

Short Form Transactions: Refers to NYSTEP transactions submitted on forms 1A and 2A. These forms can only be used for classification actions for formally designated Decentralized Titles, i.e., those titles labeled as “1A” in the Title and Salary Plan. Decentralized Agencies may also use these forms for submitting classification requests using titles that have a tentative or final Classification Standard. These forms do not require supporting documentation to be *attached* to the NYSTEP transaction at the time of agency submission; hence, the “Short Form” label. However, a Reviewable Record must be prepared and retained by each agency for audit review by the Division of Classification and Compensation.

Long Form Transactions: Refers to NYSTEP transactions submitted on forms 4N and 4R. These forms are used for classification requests that entail titles not designated as “1A” in the Title and Salary Plan. These NYSTEP requests cannot be submitted without the attachment of full supporting documentation (i.e., letter of justification, full duties description, organization chart), hence, the “Long Form” label. Full case analysis is conducted by the C&C Analyst prior to rendering a decision.

Appendix C summarizes which forms to use, what documentation to attach, and audit status of transactions. Appendix D is a checklist that summarizes position classification factors.

Submission of Decentralized Classification Requests **“Short Form” Requests**

1A (New Positions)

2A (Reclassification to a Decentralized Title)

- Using the Title and Salary Plan, confirm that the target title is a Decentralized Title, designated “1A.” Decentralized Agencies may also submit 1A and 2A transactions for positions in a target title for which there is a final or tentative Classification Standard and for which the agency already has existing positions.
- Prepare the Reviewable Record: a brief memo or equivalent documentation that explains why the position is needed and how it meets the classification criteria for the title, a duties description, and an organization chart. It is optional to attach these documents prior to submitting the transaction on NYSTEP.
- Fill out the appropriate NYSTEP panels.
- In the “Comments” panel of the NYSTEP transaction provide the following information:
 - 1.) The reason for the classification action,
 - 2.) The organizational context of the position, and
 - 3.) An attestation that the duties of the position have been compared to, and found consistent with, the Classification Standard for the title.

It is recommended that additional information be included, as follows, to expedite the Pre-Audit or Post-Audit review:

- Where the position will be located and the Civil Service (or Unclassified Service) title of the immediate supervisor.
- Brief summary of the duties and responsibilities that will be assigned to the position.
- If it is a supervisory position, provide the number and titles of subordinate staff.

- If the position is a non-supervisory support item such as a Secretary 1, identify the number and titles of the individuals for whom the incumbent will provide office support activities.
- Brief explanation of how the position conforms to the criteria in the Classification Standard.

Examples of Appropriate “Comments”

- Incumbent will work in the Undergraduate Admissions Section of the Office of the Registrar and will be supervised by an Unclassified Service Staff Associate. Incumbent will supervise the activities of (3) Clerks 1, Grade 6, in the receipt and processing of applications for admission. The duties of the position have been compared to, and found consistent with, the Classification Standard for the Clerk 2 title. This title is appropriate because the incumbent will supervise a group of subordinate Clerks who perform a variety of clerical support activities. This position is needed to provide additional supervisory clerical support in the Office of the Registrar.
- Incumbent will report to a Plant Utilities Engineer 4 and will supervise (3) Plant Utilities Engineers 1 and various maintenance positions in the operation and maintenance of the Physical Plant. The duties of the position have been compared to, and found consistent with, the Classification Standard for the title. This will be one of four Plant Utility Engineers 2 at the Physical Plant who function as shift supervisors.

Submission of Centralized Classification Requests **“Long Form Requests”**

4N (New Positions)

4R (Reclassify existing positions to a different title)

These forms must be used for all transactions that cannot be submitted under the Short Form (1A and 2A) option. Typically they include requests for positions in non-1A titles, new title requests, reallocation requests, and “first time” requests for positions in “1A” titles.

Under the NYSTEP Long Form system, the following documents are *required attachments* for 4N and 4R Long Form transactions:

ACL: Agency Justification

ADD: Agency Duties Description (include minimum qualifications with requests for new titles and for positions requested for the non-competitive jurisdictional class)

AJC: Agency Jurisdictional Classification (if exempt or non-competitive)

ANU: Agency Negotiating Unit (if requesting Managerial/Confidential)

Agency Justification (ACL)

This document, *written as a business letter*, should contain an explanation of *what* is being requested, *why* the action is needed, and *where* the item will be located.

“*What is being requested*” should include:

- title, salary grade, and incumbent information (if item is filled)
- where the item is assigned
- role of the position in the organizational unit
- summary of what it is the (re)classification is expected to achieve
- historical background, if pertinent to changes in the job or relevant to the need for additional positions

“*Why*” should include:

- Reasons for the new position or reclassification (e.g., reorganization of the unit, changes in technology, temporary duplicate item, new legislation, etc.) Note: See “Elements Not Considered as Classification Factors” in this manual.
- Operational necessity for the action as well as any issues of health, safety, cost savings/avoidance, and potential impact on revenue generation.

- Factors such as dollar amounts of contracts let or monitored, scope of program, or public/interagency contacts should be cited here. These factors will affect the complexity of the position, which is a classification factor.
- Acronyms or “terms of the trade” should be explained.

“Where” should include:

- A description of the program where the item will be located. This is a particularly important piece because it places the item in context. The size and complexity of the program or organizational unit has a direct influence on the nature of the responsibilities associated with the items in the organization.
 - For example, if the position is to supervise grounds maintenance, include data on the acreage, number of buildings, number of roads, equipment used and any other program information that is pertinent to the position.

Agency Duties Description (ADD)

The following format should be used in preparing duties descriptions. When preparing this attachment, consult Chapter 7 of this manual, “Duties Descriptions.”

Job Title – proposed title and salary grade

Position Summary – provide a brief (1-3 sentences) summary that describes the overall role and function of the position in the organization, and the reporting relationships (supervisor of the position and subordinate staff, if appropriate).

Example

Title: Examiner 1, Grade 18

Position Summary: Reporting to an Examiner 2, Grade 23, incumbent will be responsible for reviewing all business transactions submitted from City B, assessing adequacy of documentation, and deciding to approve or disapprove them.

Duties

- List in activity/task format
- List major or predominant assignments first
- Percentages of time should be included for each activity statement
- Delineate specific supervisory responsibilities

Minimum Qualifications

All requests for new titles and for non-competitive jurisdictional classification for specific positions must include a statement of proposed minimum qualifications. These should be included on the "ADD" attachment.

Minimum qualifications should reflect the type of education and/or experience that would prepare a new appointee in the title/position with the requisite baseline knowledge, skills and abilities to allow them to function in the job with a reasonable chance for success, given appropriate on-the-job training.

Agency Jurisdictional Classification (AJC)

For background, see the "Jurisdictional Classification" section of Chapter 3 of this manual, "Categories of Government Service."

This attachment is required when the item to be classified needs to be filled by other than a competitive examination. It is for positions requested to be in the exempt jurisdictional class (and thereby exempt from requiring any qualifications) or in the non-competitive jurisdictional class (and thereby requiring some specific qualifications but no formal examination).

This attachment should be *written as a business letter to the President of the Civil Service Commission*. The letter should explain that a request has been submitted to the Division of Classification and Compensation for the creation of a position in a certain title. The reasons for requesting exempt or non-competitive jurisdictional classification should be explained. When the NYSTEP transaction is submitted, the Civil Service Commission will receive the NYSTEP file. Therefore, it is not necessary to mail a paper copy of the letter to the Commission.

Agency Negotiating Unit (ANU)

For background, see the "Negotiating Unit Assignments" section of Chapter 3 of this manual, "Categories of Government Service."

This attachment is only needed if a request for designation as Managerial/Confidential will be requested. It should be written with the following header:

Justification for Managerial/Confidential (MC) Designation

Title and Salary Grade: -----

Item Number: -----

Agency Name: -----

The justification must explain how the requested item fulfills one of the five pre-established criteria that must be met in order for an item to be considered for M/C designation:

1. Participation in the formulation of policy
2. Participation in collective negotiations
3. Major role in the administration of agreements
4. Major role in personnel administration
5. Confidential relationship to positions designated managerial as defined in 2, 3, or 4.

Organization Charts

An organization chart (“org chart”) is a “picture” of an organization. The purpose is to provide a detailed outline of a specific program or program area. It highlights the hierarchical structure and reporting relationships as well as the layout of functional areas as they relate to a program, several programs, or the overall agency.

Types of Org Charts

Structural Organization Chart is a skeleton or master chart of an organization. It shows all of the subdivisions and the relative levels and lines of authority and responsibility. See sample in Appendix E.

Functional Chart is the same as the structural chart except that additional information is added that includes a statement of the function or activities of all organizational subdivisions. See sample in Appendix F.

Personnel Chart is the same as the structural chart except that for each subdivision it also lists each position in that unit by title, grade, and incumbent name. See sample in Appendix G.

Typically the C&C Analyst will ask for the *Personnel Chart*, because this type of chart includes all of the information on how the program is functionally organized and staffed.

In order to be most useful, an org chart should contain the following details:

- Official title, item number, incumbent name or an indication that the item is vacant.
- Include the item that is the subject of the request. For example, if the request is to reclassify a Clerk 2 to a Calc Clerk 2, the org chart should show the requested Calc Clerk 2 with the word “requested” or “proposed” under the title.
- All titles should be spelled out, without acronyms. If there is not enough space to completely spell out the title, abbreviations can be used provided a “key” is included on the chart.