
City of American Canyon



RECRUITMENT AND RETENTION STRATEGIC PLAN

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PART I – INTRODUCTION

Purpose

The purpose of this Recruitment and Retention Strategic Plan is to serve as the official guidelines and resource for the City of American Canyon as well as to position the City to meet the challenges of workforce planning. The concept of workforce planning entails several strategies, two of which are recruitment and retention.

- Retention Management - Workforce trends tell us that new employees may not remain with the same agency for their entire careers. To increase the return on an organization's employment investment, the City must develop strategies, processes, and plans that provide for the continued growth and development of employees. This increases the current value of an organization's employees and can have a positive impact on their decision to stay or leave.

Getting the most valuable applicants to fill vacancies dramatically increases the odds of retaining those employees. Placing an emphasis on strong retention strategies can help the City retain our valuable human capital assets.

- Recruitment - High performing organizations understand that recruitment is an ongoing process. Effective recruitment begins with building the City's identity for both active and passive job seekers. If potential candidates don't know who we are, what we do, or what we can offer them, how can we expect to generate interest in their possible employment with us? This element involves building the City's brand and marketing our City so that we can be successful in attracting and retaining talented employees. The City's employer brand will be our City identifier. It will become the centerpiece of our efforts to describe the kinds of employment opportunities and benefits that potential applicants will want to consider.

Other elements of this Recruitment and Retention Strategic Plan include providing an orderly and equitable process for identify jobs and group job duties and responsibilities. Job classes provide the basis upon which recruitment and screening, pay scales, and other human resource management decisions are made. The purpose of classification of positions is to (1) classify positions according to their common characteristics of kind of work, level of difficulty, degree of responsibility, qualification requirements, and other factors outlined later in this Plan; and (2) start as the initial formulation of policies and procedures, development of occupational structures and preparation of classification standards, technical evaluation guides, and other reference materials concerning classification work processes. The paramount qualification requirements of positions included in this Plan are the knowledge, abilities, and skills in position analysis and evaluation to determine appropriate pay scale, occupational grouping, title, and functional level (or difficulty level) of positions.

Note: If there is any conflict between provisions of this Plan and the language contained in the contracts (MOUs) or any resolution authorizing pay and benefits between the City and a recognized employee organization, the provisions contained in the memorandum of understanding or resolution authorizing pay and benefits shall take precedence.

For salary administration, the Plan serves as the foundation of the City's compensation philosophy and approach for administering the various policies and procedures for ensuring that actions related to pay are fair, equitable, and consistent. The Plan outlines the parameters of the City's market surveys in regard to timing, the relevant labor market, use of benchmark classes, and internal relationships. Overall, the Plan serves as an aid to understanding the relationship of pay and position classification to appropriate and fair compensation, assignment of management responsibilities, and to other specialized fields of personnel management.

Conceptual Plan

This Plan presents a conceptual framework for the classification plan and identifies grades that reflect distinct differences in levels of work as determined through the use of established allocation factors and class concepts. The concepts to be addressed in this Plan include:

- ▶ Classification Levels
- ▶ Classification Series
- ▶ Classification Titles
- ▶ Job Description Format
- ▶ Definitions of Levels of Supervision
- ▶ Allocation Factors

For Salary Administration, the plan addresses the following concepts:

- ▶ Salary Structure Principles (Class level differentials)
- ▶ Internal Equity (Whole Job Method and allocation factors)
- ▶ Market Surveys (Relevant labor market, benchmark jobs, appropriate statistics, pay philosophy, timing)
- ▶ Compensation (Pay bands, pay-for-performance for at-will)

PART II – WORKFORCE PLANNING

Once the City's classification and compensation plan is fully approved and implemented (Sections III and IV), the City will be better positioned to begin its workforce and succession planning efforts. Workforce Planning is the strategic alignment of an organization's human capital with its business/ service direction. It includes the methodical process of analyzing the current workforce, determining future workforce needs, identifying the gap between the present and future, and implementing solutions so the organization can accomplish its mission, goals, and objectives.

In addition to addressing the critical nature of the shrinking labor market, workforce planning can provide the City with many benefits:

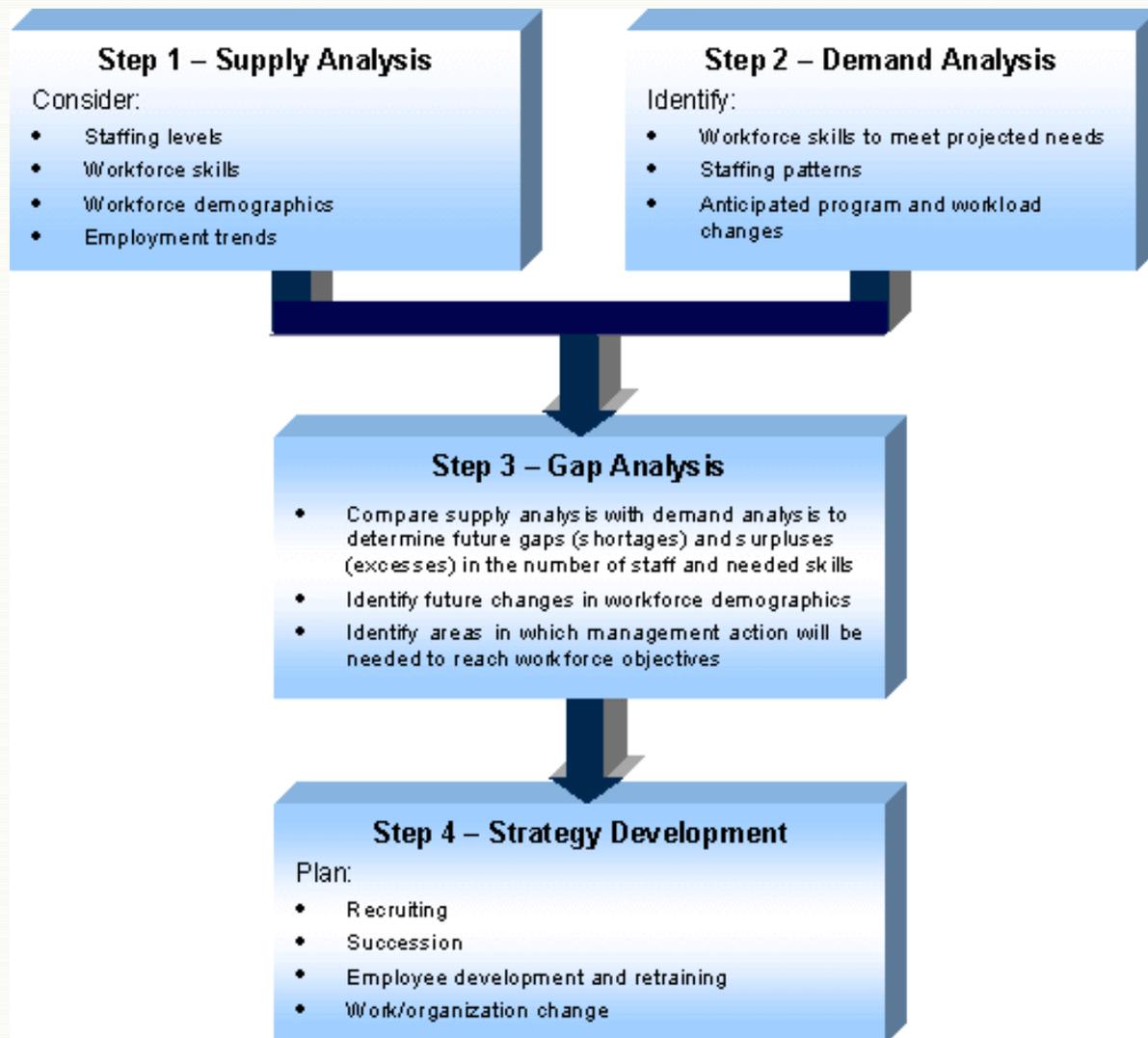
- It allows for a more effective and efficient use of the workforce. This will become increasingly important as the City finds itself having to do the same amount of work or more with fewer staff members.
- It helps ensure that replacements are available to fill important vacancies. Filling vacancies is especially critical as the City faces an increasing number of workers eligible for retirement, combined with labor market shortages, and limited compensation levels.
- It provides realistic staffing projections for budget purposes. Realistic projections are very helpful when justifying budget requests to the Council.
- It provides a clear rationale for linking expenditures for training and retraining, development, career counseling, and recruiting efforts.
- It helps maintain or improve a diversified workforce.
- It helps the City prepare for restructuring, reducing, or expanding its workforce.

Analysis of workforce data is the key element in the workforce planning process. Workforce analysis frequently considers information such as occupations, skills and experience, retirement eligibility, diversity, turnover rates, and trend data. Questions agencies should consider include:

- Are there certain occupational groups with increasing worker turnover?
- Can factors influencing turnover be identified?
- Has turnover reduced the skill set of a certain occupational group?

Answering these questions should help the City develop plans for stable staffing levels, succession planning, and skill development.

There are four key steps to the workforce analysis phase of the planning model. These steps are:



The workforce analysis phase of the planning process has been completed with the results presented to the City Council. From an analysis conducted in 2007, it is clear that the that the City will face some serious workforce challenges within the next 10 years. Specifically, the analysis for the City's workforce showed that within 5 years, we could potentially see retirements from about 28% of our overall workforce. Additionally, we will need to recruit and retain employees within the technical job category at a higher rate than any of the other job categories (clerical, department head, management/supervisory, professional). Given our small staffing levels in such areas as water, wastewater, and in our paraprofessional level positions, this loss of almost 12% of our workforce in the technical occupational areas will significantly impact the City's ability to deliver services.

When potential retirements are looked at within the 5 to 10 year timeframe, the largest loss to the City will be in the management and supervisory ranks. Approximately 40% of the City's current overall regular workforce will be eligible for retirement with almost 16% of that number occupying mid-management and supervisory positions.

The next implementation step involves determining the major strategies for recruiting, retaining, and employee development. To this end, the City has put together a Recruitment and Retention Committee made up of a cross-section of employees and has provided an opportunity for the union representatives to review the plan. This Committee has developed and worked on a list of best practices for recruiting and retaining employees. This analysis involves looking at how the City meets the various best practices standards and the strategies recommended to be used in closing the gaps between actual and best practices.

And finally, an invaluable tool that the City has used for the past three years will continue to be conducted on an annual basis for its usefulness in determining employee satisfaction. This tool is our the annual organizational assessment which collects and analyzes employee responses related to communications, supervisors, work groups, quality of work environment, the employees' job, and the City as an employer.

The results of the annual assessment gives City management specifics on issues that it can work on to improve the City's work environment thus moving further along in becoming a more desirable place to work. For instance, each year the assessment reveals that the City still needs to improve communications and this feedback has led to various efforts such as brown bag meetings to be held by the City Manager with employees to hear their concerns, a more informative employee newsletter, and communications training for supervisors in our Supervisory Academy.

Recruitment

A recruitment strategy is critical in successfully communicating the City's brand to the various applicant groups. The strategy should include a variety of recruitment options, from on-site recruitment activities to the use of electronic recruitment forums or direct email recruitment contacts with schools and universities. Depending upon the specific job being recruited for, the following are some tools and approaches to consider and implement:

- Become an "employer of choice"
- Develop and disseminate, including a slogan, recruitment brochures and City materials with a "City look" (brand).
- Engage and reach out to the community
- Establish and maintain relationships with the best sources of applicants for our workforce (e.g., colleges/universities, technical and trade schools, professional associations)
- Attend job/career fairs at schools, community events, and open houses
- Distribute job postings to locations such as gyms, recreational centers, grocery stores, churches, billboards, and public transportation
- Advertise in professional and/or specialized journals, newsletters, and web sites
- Contract support from recruiting firms
- Utilize trainee, apprentice, intern, and other entry-level programs
- Conduct presentations at community events and at local college and adult school classes offering on specific technical skills, interviewing skills, and resume writing

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- Develop extensive mailing lists to include specific organizations, agencies, and groups
 - Address cultural diversity with targeted outreach effort (ethnic group or minority publications, groups, churches, etc.)
 - Utilize a cross-departmental team of managers and employees to develop and propose additional strategies (Recruitment/Retention Team)
 - Reward for employee referrals

The most effective and pressing of the above efforts would be to establish some apprentice/training programs as soon as possible, especially in the technical job categories. The new Recruitment/Retention Committee will place such efforts as a top priority as well as develop a working list of best practices to be used by the City as a guide to recruitment efforts that will enhance results.

Retention

While recruitment strategies are aimed at hiring new employees who are the best fit for a particular position, retention has also become an essential organizational strategy for employers that wish to remain productive and effective into the future. While compensation is an important factor in employee retention and is therefore, thoroughly addressed in the salary section of this plan, many employees stay with their employers for other reasons as well. The following are some factors that enhance employee retention:

- Put the right person into the right job
- Get input from employees via an employee/management retention committee on retention ideas/strategies
- Offer a workplace that respects, encourages, and enables a work/life balance through creative choices
- Facilitate career development for all employees but especially for top performers
- Conduct regular organization assessments and employee opinions/feelings and make adjustments where possible
- Maintain and develop high quality of supervisory ability in the organization
- Provide meaningful and regular performance feedback
- Promote an environment where employees feel comfortable freely speaking their minds
- Treat employees fairly, equitably, and consistently
- Consider ways to reward top performance
- Fully utilize and evaluate the City Exit Interview Program and follow up on what is learned

Just as with recruitment, the Recruitment/Retention Team will develop a working list of best practices to be used by the City as a guide in our retention efforts (Attachment 1).

Employee Development

Training and development for our employees serve as both a recruitment and retention tool. If the City becomes known as an employer that provides training and development for its employees, employment with the City will become more attractive to applicants.

And, if employees are developed and provided with the opportunities for further training and education, then those efforts lead to better retention of valuable employees.

The most typical method for providing input into an employee's career development is through the performance management process. The supervisor and employee discuss areas where the employee needs/wants development and those identified areas are made into goals for the next review period. To provide more detail for employees and their supervisors, Individual Development Plans (IDP) are completed that identify the areas to be developed, the learning goal, the current and desired level of proficiency, the developmental activities, timeframe to be completed, and the review process. The following are some of the paths to employee development:

- **Training** - Formal or informal, in-house seminars, external courses, one-on-one sessions, instructor-facilitated group instruction, web-based individual tutorials, post-secondary offerings—there is no shortage of options.
- **Buddy system** -New hire partnered with an experienced worker.
- **Feedback** - Formal, informal, consistent, constructive, individual and group, just-in-time, all the time.
- **Job enrichment** - Add new challenges and opportunities to the current job, in close consultation with the employee (offered, not imposed!).
- **Lateral moves** - Employee moves to a new position at same level of responsibility.
- **Promotion** - Employee moves vertically, to a position of greater responsibility.
- **Cross-training** -Employee works in other positions or in other work areas for a period of time.
- **Rotate jobs or assignments** -Some jobs or responsibilities rotate among workers.
- **Coaching** - Supervisors, co-workers or external coaches assist employee with performance improvement, and enhance understanding of the organization.
- **Mentoring** - Role models help employees to understand organizational values and goals and to explore organizational, career, or personal transitions.
- **Committee work** - Employee serves on or leads committees.
- **Special projects** - Employee takes on new challenges.
- **Teamwork** - Employee serves on or leads cross-functional/departmental teams.
- **Career ladders** - Employer plans and communicates clear paths to advancement.
- **Tuition reimbursement** - Employer provides funds for employees to take approved training, to encourage learning.
- **Professional connections** - Employer pays professional dues or supports attendance at industry conferences, with a requirement to report back on what was learned.
- **Celebrate** - Employer recognizes, rewards, and communicates employees' achievements in newsletters, annual award banquets.

PART III– SALARY PLAN

Administration Policies

Because pay administration touches so many areas of personnel administration, it is important to cover some of them in the Plan so that all the pieces can be seen and understood in the proper context. The City's various policies on salary adjustments, initial salary step appointment, minimum performance evaluation criteria, the effects of reclassification on salary, etc. are found in the City's Human Resources Practices and Procedures Manual.

Salary Structure Principles

The City utilizes a pay step system for its classes. All of the City's classes, except at-will management, consist of 5 steps with ranges that span approximately 28% from the minimum and maximum steps within the pay grade as provided for in this plan. There is a 5% difference between each pay step. For instance, the current Step B of the Maintenance Worker is \$20.01 per hour and Step A is 5% lower at \$19.06 per hour. This range size and structure is typical for a public agency. In addition to the basic structure of the pay ranges, a major guiding principle for salary structure is the acceptable differentials between various class levels.

Class Level Differentials

While labor market data is a good indicator of market trends in pay, the concept of internal equity, e.g. how classes are paid relative to each other within the City's pay plan, is an equally, if not more important factor when establishing a pay plan.

Professional compensation practices provide some guidelines when reviewing internal equity between levels of classes, e.g. how a class in one level is paid relative to another level based on increasing duties and responsibilities and span of control. These guidelines can minimize compaction issues, e.g. supervisory or management positions that make less than their employees when overtime is taken into consideration. The guidelines are presented below in a range format with a minimally accepted low differential up to the maximum. Any salary differentials that fall below the minimum would be considered a salary compaction problem. Salary differentials towards the maximum of the range are to be used under unusual circumstances which are outlined later in this section. Salary differentials are measured by calculating the difference between the highest rate in one pay grade to the highest rate in the other pay grade. The differential ranges that are a "best practice" are outlined below, though there are sometimes exceptions, especially at the top of the range. The following represents the "optimal" differentials between levels:

1. Entry to journey level of series = 10% - 15% differential
2. Journey to advanced journey level of series = 10% - 15% differential
3. Supervisory = 15% - 30% differential over the highest level supervised

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4. Division management = 15% - 30% differential over the highest level supervised
 5. City management = 15% - 30% differential over the highest level supervised

The special circumstances that would warrant a reasonable differential, based upon industry standards, between two classes at the upper end of the differential ranges are below:

- For differences between working levels in a class series (# 1 and 2 above), the higher levels may be up 15% higher than the next lower level if the higher level job requires more education and/or experience to be considered qualified for advancement than other journey or advanced journey level jobs. The basic rule of thumb is to use the minimum differential (10%) when movement to the next higher class only requires one more year of experience and/or education. Any requirements higher than that will warrant a differential at the high end of the range.
- For differences between subordinates and their supervisors (#3, 4, and 5 above), the range of acceptable differentials are greater to accommodate the variety of special circumstances that may occur and be accounted for. The main reasons for allowing a supervisor/subordinate differential to be at the high end of the range are:
 - To ensure equitable compensation for supervisors over employees who earn high amounts of overtime.
 - To compensate for supervisors who must possess a different and higher level of technical proficiency than their subordinates. For example, some organizations may require an engineer to oversee a division that consists of maintenance/trades personnel.
 - To keep pace with the market.

For very small supervisor-subordinate differentials of 5% or less, the City Manager is authorized to adjust the salary of an at-will manager by up to 10% to help mitigate the compaction problem and recruitment/retention difficulties.

Internal Equity

Internally equitable pay systems clearly define the relative value of each job among all jobs within an organization. This ordered set of jobs represent the job structure or hierarchy. The basic concept is simple: jobs that require higher qualifications, more responsibilities, and more complex duties should be paid more than jobs that require lower qualifications, fewer responsibilities, and less complex job duties.

The City utilizes its current pay grade system as a means of effecting internal equity. One level of equity maintenance is achieved by the systematic approach to job/class studies that review certain jobs for proper classification, and therefore, proper salary grade

placement. This process is called job analysis and is very important as a means to create and maintain an internally consistent job structure. Job analysis is almost purely a descriptive procedure. Effective job analysis identifies and defines job content by describing the job duties and tasks as well as other pertinent factors such as skill and effort needed to perform the job adequately. With the adoption of this Plan, the City will codify the City's current use of the Whole Job Method. This method utilizes the common allocation factors of: decision-making, scope and complexity, contact with others required by the job, supervision exercised and received, and the minimum qualifications that include the knowledge, skills, and abilities.

Market Surveys

Market-competitive pay systems play a significant role in setting a salary that will attract and retain the most qualified employees. Conversely, paying more than is necessary can undermine lowest-cost strategies and may represent an undue burden for the organization. Because money is a limited resource, organizations must strike a balance between offering sufficiently high salaries to attract and retain highly qualified employees and providing sufficient resources to enable them to be productive¹. To this end, the City must have a strategy that includes surveying the relevant labor market to determine the organization's place in the external market and determining the most adequate frequency and benchmarks for surveys. Communicating the goals of the City to its employees is important, especially with helping to gain acceptance.

Relevant Labor Market

Relevant labor markets represent the fields of potentially qualified candidates for particular jobs and are defined on the basis of occupational classification, geography, and service/function/industry provided.

The following factors should also be considered in determining the relevant labor market:

- The most effective number of survey agencies is between 8 and 12. Anything less than 8 survey agencies increases the chance that there will not be sufficient data collected when a job is hard to match. More than 10 or 12 agencies, however, do not significantly affect the data results in most cases. This is particularly important when the cost of surveying more agencies only serves to make the survey more costly and time consuming than necessary. The increased data adds little to the value of the survey.
- Geography is important for a couple of reasons. First, the potential candidate pools are shared by similar agencies that are close in proximity. If there is any potential of employees being recruited away from the City, it most likely will be by a closer agency such as a Bay Area agency. It is very doubtful that there will be any loss of employees of any significant degree to either Fresno or Los Angeles for instance.

¹ Salaries of represented employees are subject to the collective bargaining unit process.

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- Size is another important factor because size strongly affects organization. A larger organization typically has more levels of management, supervision, and workers so to match a second-line supervisor class with a much smaller organization would be very difficult and will often lead to a lack of sufficient data on some jobs. While size is important, this factor should not trump an otherwise good market benchmark agency that may be smaller or larger but is well suited based upon location (local) and similarity of business (municipal government).

Based upon consideration of the above factors, the following markets² have been previously used in City surveys including during the last round of contract negotiations and other subsequent surveys. The adoption of this Plan codifies the City's identified market areas (changes to the market area are subject to meeting and discussing any proposed changes with the union):

MARKET AREAS

- Benicia
- Dixon
- Fairfield
- Martinez
- Napa
- Pleasant Hill
- Rohnert Park
- Sonoma
- St. Helena
- Vallejo

There may be instances when a different combination or new agencies need to be surveyed due to an unexpected situation. For instance, if a recruitment of market sensitive positions result in a poor applicant pool, then a salary survey on a statewide level may be warranted since this is where the potential candidates may come from (such was the case in the late 1990's with respect to computer related

²For some positions in wastewater treatment, wastewater laboratory, and wastewater pollution prevention, the City may survey the special districts serving Vallejo and Napa.

fields). It is important that special circumstances be dealt with in a flexible and appropriate manner. It is expected that an evaluation of the City's relevant labor market will be conducted about every three to five years to ensure that our survey cities continue to provide similarity and balance based upon the outlined factors.

Choosing Benchmark Jobs

It is unnecessarily burdensome and expensive to survey all of the City's classifications. Benchmark jobs play an important role in compensation surveys because they allow pay levels to be determined from the information collected on one job to apply to other, similar jobs. Benchmark jobs have four characteristics:

- The job contents are well-known, relatively stable over time, and agreed upon by the employees involved.
- The jobs are common across a number of different employers.
- The jobs represent the entire range of jobs being evaluated within an organization.
- The jobs are generally accepted in the labor market for the purposes of setting pay levels.
- Because it is so important to determine and survey benchmark classes, it is recommended that the City go through a benchmarking process before each survey is conducted. Once the original benchmarking takes place, then the process should only be an updating process thereafter.

Using the Appropriate Statistics

There are two common statistics that are used in analyzing survey data: the mean and the median.

Mean

The mean salary is calculated by adding all of the collected salaries and dividing by the total number of salaries in the set (the City's salary is not used in the equation). Many times, the set of salaries collected will contain one or more outliers (salaries that extremely large or small in comparison to the other salaries), which can lead to a distorted representation of the typical salary. The mean understates the "true" typical value when there are one or more extremely small values and it overstates the "true" typical value when there are one or more extremely large values. While this problem can be mitigated if numerous survey cities and data points are used, the additional work in collecting data from so many survey cities is often not worth the gain.

Median

The median is the middle value in an ordered sequence of numerical data (excluding the City's data). If there are an odd number of data points, the median is literally the middle observation. If there are an even number of data points, the median is the mean of the values corresponding to the two middle numbers. The median does not create distorted representations like the mean because its calculation is independent of the magnitude of each value.

Because the median is not influenced by outliers as the mean can be and is used with a lesser number of data points, it is recommended that the City calculate the median only on its market surveys and use it to determine its place in the market.

Compensation Philosophy

Once the market survey data have been collected and analyzed, what an agency does with the information depends upon their overall compensation philosophy. While some companies and agencies can afford to have a market lead policy (compensating employees more highly than their competitors), most governmental agencies have a market match policy which means that they seek to pay their employees within a certain percentage of the market line (median or mean).

The specific recommendation for the City is to pay its employees within 7% of the median. This means that if a salary rate is shown to be more than 7% below the market, then that rate is adjusted to a level that is more reflective of the median. However, if a salary rate is found to be above the market, then a 10% standard is used so that the negative impact to employees is minimized. That is, a salary rate is not considered to be above market if it is 10% or less above the median. However, if a salary rate is more than 10% above the median, then it is considered to be significantly above the market and should be adjusted to a level that is less than 10% above the median level. This adjustment should not occur, though, if there are any internal equity or compaction problems that would occur as a result of reducing the salary rate.

Example of Salary Median Under the Market: Assume that a City salary at the top step is \$4,000 per month and the market median is found to be at \$4,200. The difference is 5% ($\$4,000 - \$4,200 / \$4,000$); or in other words, the City's salary is 5% below market. Since this difference does not meet the 7% threshold, there will be no change made to this salary. However, if the median of the survey agencies was \$4,300, then the difference is 7.5% below the market which is greater than our threshold of 7%. In this second case, the top salary step would be adjusted to the median of \$4,300 with the remainder of the salary steps adjusted accordingly.

Example of Salary Median Over the Market: Using the same City salary in the example above of \$4,000, assume the market median was \$3,700. This results in the City salary being 7.5% above the market ($\$4,000 - \$3,700 /$

\$4,000). Since it is not a desirable option to lower employees' pay, we have a higher standard for when we pay over the market median. In this example, no action will occur since the 7.5% difference does not meet our standard of 10%. However, if the market median was \$3,500, then the difference would be greater than 10% resulting in a recommendation for adjustment to below the 10% standard.

Timing

When all of the recommendations and guidelines in this Plan are followed such as using a systematic and regular job analysis process, determining the appropriate labor market, and establishing benchmark classes as well as annually adjusting salaries for cost of living, it is not necessary to conduct market surveys on an annual or bi-annual basis. Rather, with a well thought-out and developed plan and solid process, the City can maintain its place in the market by conducting a market survey every five years or so, or just before negotiations begin. This will allow sufficient time to check in on the external market to ensure that the City is offering a compensation level that helps to recruit and retain qualified employees in its regular workforce. For at-will management, the frequency of market surveys shall be guided by the following section and referenced attachment.

Executive Merit Standards

Given the unique nature of the at-will executive jobs in the City, it is important to take a different approach to compensation for executive staff, especially in regard to merit increases. Rather than separate, 5-step salary grades, the executive management positions in the City are placed into "bands" that have a minimum, a control point, and a maximum salary. The bands do not have salary steps so an incumbent can be placed at any point in the band range and could receive a merit increase (or decrease) of any full percentage point, depending upon performance. For instance, one executive could receive a 4% merit increase while another may be awarded a 2% merit increase, and yet another one may not receive any merit increase at all. More detailed information can be found in the City's Performance Management Guidelines, Policies, and Procedures for At-Will Managers (Attachment).

Bands

There are three at-will management salary bands:

- Band 1 – Positions placed in this band are those executive management positions that require a highly specialized body of knowledge and skill over a medium to large department, including public safety chiefs. These executives typically have other managers and/or professional staff reporting to them, creating a department that is complex and involves a broad range of functions.

- Band 2 – This band contains those executive management positions that oversee a support department or, the departments that involve functions that are more maintenance, recreational, or community service in nature.

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- Band 3 – This band is for other at-will management positions that typically oversee functions/offices of a more administrative nature or for assistant managers to higher level executive managers.

Placement/Adjustment Process

Each year during the process to update the “Unrepresentative Compensation Program” for Council approval, the City Manager shall do the following:

- Put forth a list in the “Program” that places each executive management position into the appropriate band. If the band placement of any position changes from the previous year, then an explanation as to why the change is proposed must be included.
- Recommend the adjustment of the minimums and maximums of the bands based upon the February to February Bay Area CPI. Individual salaries of executive managers will also be adjusted by the same CPI amount. This adjustment shall not to be considered a merit increase.
- By each January 15th, the City Manager shall conduct a performance review for each executive manager setting the amount of a merit increase/decrease, in whole percentage points, that each manager will receive for his/her merit pay. Any merit increases awarded will be effective the first pay period following the date that all of the at-will executive reviews are completed.
- A total compensation survey shall be conducted on executive management benchmarks to determine the City’s position in the market, both in regard to pay and management benefits in May of every odd numbered year. The City Manager shall make recommendations to the Council for any changes that are warranted to the executive compensation program in order to stay competitive and to aid in recruitment and retention. Any changes shall be effective July 1st of each year that is surveyed.
- When placing a new executive management hire into the appropriate band, the City Manager shall consider the new hire’s background, his/her compensation in their previous position, and the placement of other executive managers within the band, and will be mindful of the strategy of giving the new executive room and incentive to grow with the City based upon merit.

PART IV– CLASSIFICATION PLAN

The classification structure assists in providing a logical, consistent, and fair system and helps applicants, employees, and managers in understanding job duties, responsibilities, qualifications; ensures equal pay for equal work; and provides valuable information in organizational planning and analysis, staff development, and performance management.

CLASSIFICATION LEVELS

Position classification represents the grouping of all jobs within the City into a systematic classification structure based on the duties performed, nature and level of responsibilities, and other work-related requirements of the jobs. Within the classification plan, it is possible to generally categorize classifications according to the following levels:

Class Level

Entry

Journey

Advanced Journey

Lead

Supervisor

Manager

Director

City Manager

Within each job family, there may exist a classification at every level or only at selected levels. Not all job family or classification groups require all of the above levels. The specific required levels within a job family reflect the organization and type/amount of work required and should be tailored to that organization's needs and priorities.

In some positions, there is no need for functions to be performed at the entry level. Therefore, there would be no entry-level classification in that particular job family. Furthermore, it is important to note that while two given jobs may both contain, for example, a journey-level classification, the two journey-level classes will likely be treated differently for compensation purposes. Distinctions between class levels for all types of job families may be expressed in terms of the general amount of responsibility to be assumed within each class level. The following subsections generally define the responsibilities to be assumed at each class level identified.

Term / Level**Definition And Basic Information**

ENTRY

"Entry" is the first level in a series. Employees hired into entry level classes often have limited work experience and require on-the-job training. Assignments are generally limited in scope and are performed within a procedural framework established by higher level employees. As experience is acquired, the employee performs with less immediate supervision. Entry class titles are generally followed by the Roman numeral I such as Accounting Assistant I.

JOURNEY

"Journey" commonly follows the entry level and is the fully trained level in either a class or in a class series. The journey class titles are generally followed by the Roman numeral II such as Accounting Assistant II. If a journey level class is a standalone class with no other levels, then the title will not contain a modifier such as I, II, or Senior.

Incumbents at the journey level are expected to be fully competent to independently perform the position's full range of duties. They may also assist in training and providing direction to others.

**ADVANCED
JOURNEY**

"Advanced journey" follows journey and is commonly the third level in a class series. Advanced journey titles typically include "III" in the title, but only if there is a class series with lower level classes (entry and journey) below it and if it is distinguished from the lower levels by being the "highly specialized" level.

The advanced journey is the "highly specialized" level but may also include lead or full supervisory duties, depending on the broadness of the class. For example, the Accounting Assistant III is defined as the "advanced journey/leadworker in the series" level.

Not all class series include an advanced journey level. If this level is needed, its duties should be clearly distinguished from the journey level and not simply be a "time-in-grade" level. The "Distinguishing Characteristics" section of the job description may include examples of duties to assist in clarifying the advanced journey from the journey levels of responsibility and the advanced duties should account for at least 50% of the work time.

LEAD

"Lead" commonly follows journey and may be the second or third level in a class series. The "Lead" classes provide indirect or "lead" supervision to at least two employees. This level is often called the "Senior" level in its title.

Incumbents in lead functions, or "leadworkers," are typically responsible for providing lead supervision to a group of at least two lower level regular staff while performing the day-to-day work themselves (temporary or other non-regular staff does not count under this definition), typically at a higher complexity level. Supervision is not the leadworker's full-time responsibility. Typical lead duties are to: train and provide ongoing guidance to staff; assign and monitor work; and assist in providing information to the supervisor in areas such as employee selection, performance evaluations, and coverage schedules. Leadworkers are typically not responsible for hiring/firing, corrective action, or preparing performance evaluations though they provide input for the evaluations. Additionally, the indirect supervision that they provide is less than 50% of a leadworker's time.

SUPERVISOR

"Supervisor" commonly follows either the journey or advanced journey/lead levels. Though some positions at the journey level and up may have supervisory responsibilities (see levels above), classes at the supervisor level typically have primary responsibility for full-time supervision of staff including hiring/firing, corrective action, and completing and conducting performance evaluations. Supervisors work closely with managers in regard to major or sensitive issues.

Supervisors may conduct day-to-day work similar to their subordinates in type but usually perform the more difficult or sensitive work in addition to supervising staff. (Incumbents responsible for supervising "functions" but not supervising staff do not carry the title of supervisor.) The primary reason the class exists is to supervise regular City employees.

The term "full supervisory responsibility" relates to two dimensions: the responsibility for the entire range of supervisory tasks and the amount of time spent performing those tasks. As a rule of thumb, a class is considered a "full supervisor" if it has responsibility for providing "direct" supervision for at least 30% of the time. Other classes, whether they are typically considered journey or advanced journey, may provide direct supervision; however, once the threshold of direct supervisory responsibility exceeds 30%, then the need for allocation to a "full supervisory" class is warranted.

Not all class series include a supervisor level. If included, their duties should be clearly distinguished from those of any lead positions, since there may be overlapping duties.

MANAGER

"Manager" classes perform full functional management responsibility for a division of a department or a work unit where the work is of a highly specialized and technical nature. "Manager" commonly follows the supervisor or advanced journey/lead level. Manager differs from other levels in that incumbents in management positions have: 1) significant responsibility for managing at least 2 employees and for formulating, administering, or managing the implementation of policies or programs; responsibility for directing the work of others; or, significant responsibility for overseeing and planning future delivery of services within the City.

DIRECTOR

Director classes recognize positions with full responsibility for the administration and oversight of the activities and operations of a distinct department.

CITY MANAGER

The City Manager is the highest level class and has full responsibility for the direction and administration of the overall organization.

Flexibly-Staffed Classifications

1. Flexible staffing exists when a classification series has two or more levels and an employee can be initially appointed to any level in the series, depending upon experience and/or education, and can be promoted from one level in the series to another without further testing. The purpose of using this type of classification structure is not to just give employees more money for doing the same job (grade creep); rather, there needs to be some rationale for its use such as a classification that has several positions allocated to it in one department and the need to bring in new employees at a lower level, or to recognize a level that handles the most complex duties of a class. It would not be expected to have a flexibly-staffed class series for only one or two positions in a class. Also, it is through the flexibly-staffed mechanism that allows the City to set up Apprentice classes and then move a successful Apprentice up to the next level in the series without competing in an open recruitment (e.g., a Plant Operator Apprentice to Plant Operator I). Essentially, the successful completion of an apprenticeship program will substitute for an open, competitive selection process.
2. The two levels (and sometimes three levels) in the flexibly-staffed class series are essentially the same job (though the scope of duties is more limited at the entry level), and it is the employee's performance that warrants promotion to the journey level rather than a change in the position. Specifically, after putting in at least the required time-in-grade, if an employee is performing the full scope of the position's duties and **is doing so independently and with little direction**, then promotion to the journey-level class is warranted.
3. Promotion from the first level to the second level **is not a vested right after serving time in grade**. Recommendations to be promoted within a flexibly-staffed class series should be based on the following criteria:

-
- The incumbent must first meet the minimum time-in-grade requirement.
 - They must be performing a large portion of the full range of duties of the class, especially the more difficult duties assigned to the class.
 - They must be performing their duties independently, referring only the most unusual questions/situations to the supervisor.

Major characteristics of flexible-staffing are:

- Ability to hire employees at any level in the classification series.
- Ability to recognize performance and to promote staff based on demonstrated knowledge, skills, and abilities, independence of work performance, and a specific amount of time-in-grade experience.
- Ability to promote from one level to the next without further examination.

CLASSIFICATION SERIES

A classification series is a set of two or more classes within a job family that are closely related in terms of work performed and distinguished primarily by the level of responsibility and scope of duties assumed. Within a class series, it is possible to distinguish general categories or levels based upon factors such as scope of responsibility assumed, the training and experience required to perform assigned duties, and the nature of supervision received and exercised. Also, common titling designations are generally used to clearly define the applicable class levels.

Designations

The following indicates, for each of the defined class levels, the titling, distinctions, the scope of duties assumed, the general experience and training required, and the nature of the supervision received and exercised that typically reflect each level.

Entry Level (“I” Classes)

Employees hired into entry level classes often have limited work experience and require on-the-job training. Assignments are generally limited in scope and are performed within a procedural framework established by higher-level employees. As experience is acquired, the employee performs with less immediate supervision.

Journey Level (“II” or “No Designation” Classes)

Journey level classes recognize positions that require the incumbent to work under general supervision and within a framework of established procedures. Incumbents are expected to perform the full range of duties with only occasional instruction or assistance. Positions at this level frequently work outside the immediate proximity of a supervisor. A journey level position is fully trained in the scope of duties associated with this level and work is normally reviewed only on completion and for overall results.

Advanced Journey/Highly Specialized (“III” or “No Designation” Classes)

Advanced journey/highly specialized-level classes recognize positions that perform a full range of duties, possess special technical or function expertise, and are assigned specialized duties. They typically are assigned significant responsibilities above the journey level that require specialized knowledge, skills, abilities, and experience, and exercise independent judgment in the performance of their duties. The standard for allocation of this class level is that the position is responsible for performing the highly specialized work for a preponderance of the time.

Lead Level (“Senior” Classes)

The Lead level class provides indirect supervision to at least two lower level employees and is designated with a “Senior” in the class title.

JOB DESCRIPTION FORMAT

The City's class specifications are descriptive and explanatory in defining classes. Each job description may contain all or part of the following information:

Class Title

The class title is a brief and descriptive designation of the type of work performed. The class title on payrolls, budgets, personnel reports, and other official forms and reports will provide a common reference to the position. It should be understood that the class title is selected to serve this purpose and is not to be construed as limiting the use of working titles. Where there is more than one class in an occupational series, prefixing or suffixing modifiers are to be used to indicate levels, e.g., Accountant I and II and Administrative Assistant I and II. Numerical suffixes are preferred to the use of indicators such as Trainee, Junior, Assistant, Associate, etc. The use of Senior is used to denote the advanced journey, lead, or highly specialized level. The use of Administrator and Manager denotes two types of classes at a similar level of responsibility and the use of Director indicates the department head.

Definition

This section is a general description of the work and includes a brief, concise definition of the primary responsibilities assigned to positions in the class. When the classification concepts define entry level work as routine duties within an assigned functional areas of work, the definition should reflect this. When the classification concepts define the responsibilities of a manager as assuming full line and functional responsibility for a division and for the development and implementation of divisional goals, objectives, policies, and priorities, the definition should reflect the above listed range and level of assigned responsibilities. The definition should be supported by the duties.

Distinguishing Characteristics

This section, when used, describes the level of work in relation to higher or lower classes in the same series and further expounds on the basic definition. The section identifies the qualities of a class which separates it from other levels of work in the series, and if necessary, from other class series. It is this section that is most important in determining the class to which a particular position belongs by distinguishing the:

- entry from the journey level.
- journey level from the entry and advanced journey level.
- advanced journey from the journey level.
- class series from other, similar related classes.

Supervision Received and Exercised

This can be either one section or two and describes the level of supervision received and exercised by positions in the class and is used only for supervisory and management classes. For a definition of the terms used to denote levels of supervision, see the next part of this section on page 18.

Examples of Duties

This section is intended to enable the reader to obtain a more complete concept of the actual work performed in positions allocated to this class. It lists typical duties that are common to positions of the class. These examples show the range of duties performed by employees in the class. The list is descriptive, but not limiting. It is not intended to describe all the work performed in all positions allocated to the class. This section merely serves to illustrate the more typical portions of the work.

The duties are written in general terms, but enable the reader to obtain a more complete concept of the actual work performed. The list is not intended to describe all the work performed in all positions in the class, nor do all examples apply to all positions allocated to the class. In the more populated classes only one portion of one work example may apply to a given position. Duties are generally listed in descending order of importance or percentage of time spent relative to other duties. The statement "Performs related duties as required" is included in all job descriptions to maintain the general approach to classification and to provide flexibility to management in assigned duties.

Employment Standards (Required Experience, Education, Knowledge, and Abilities)

This section lists the educational background and work record that would typically indicate that an applicant would possess the knowledge and abilities to be successful in the job. This section can contain more than one qualifying education and experience pattern. If additional experience and/or education can substitute for the listed requirements, a specific substitution pattern must be identified. This section also lists the knowledge and abilities that the duties of the class require and that applicants for positions in the class must possess at a minimum to be qualified. It should be stressed that this section does not in any way refer to the qualifications of present employees. Personal characteristics commonly required of all employees, such as honesty, industry, and freedom from habitual use of intoxicating beverages or drug addiction, should not be listed since they are implied as required qualifications for all classes.

Licenses or Certificates

In certain classifications, legal or special provisions require possession of a specific license or certification issued by a Board of Licensure as a condition of employment or continued employment and can also be listed under the Minimum Qualifications.

Physical Requirements

This section outlines the type of work environment that workers perform their essential functions in and the mobility, lifting, vision, dexterity, hearing/talking, emotional/psychological, and environmental requirements.

Other Requirements

This section includes any special requirements of unusual conditions that apply to the class such as an age requirement and ability to work weekends and holidays.

JOB DESCRIPTION FORMAT

CLASS TITLE

DEFINITION

DISTINGUISHING CHARACTERISTICS

EXAMPLES OF DUTIES

Depending upon assignment, duties may include, but are not limited to, the following:

SUPERVISION RECEIVED AND EXERCISED

(Only for supervisors and managers)

EMPLOYMENT STANDARDS

Knowledge of:

Ability to:

Minimum Qualifications:

Experience and/or Education:

License Requirement:

Physical Requirements

Other Requirements:

Classification	Adopted	Revised	Retitled	Class Code	FLSA Designation	Rep Unit

DEFINITIONS OF LEVELS OF SUPERVISION

The following terms may be used to denote the levels of supervision received and exercised by positions in the various classes of work:

Direct Supervision

The basic characteristics of direct supervision are the assignment of tasks; the observance, review, and evaluation of performance; the administration of line personnel functions (e.g., selection, discipline, grievances, privileges); and responsibility for the worker, as well as the work. The gradations of direct supervision are described below in terms of supervision received by employees.

Immediate Supervision

The employee works in the presence of his/her supervisor or in a situation of close control and easy reference. Work assignments are given with explicit instructions or are so routine that few, if any, deviations from established practices are made without checking with the supervisor. This type of supervision generally is exercised over the entry level in a technical or clerical series and trainee level in a professional series.

General Supervision

Assigned duties require the exercise of judgment or choice among possible actions, sometimes without clear precedents and with concern for the consequences of the action. The employee may or may not work in proximity to his/her supervisor. This type of supervision typically pertains to the journey levels in a technical or clerical series and entry level in a professional series.

Direction

The employee receives general instructions regarding the scope of and approach to projects or assignments, but procedures and techniques are left to the discretion of the employee. This category is usually applied to journey-level professional positions and advanced journey level technical and clerical positions in which employees are expected to operate with a reasonable degree of independence.

General Direction

The employee is responsible for a program or function and is expected to carry out necessary activities without direction except, as new or unusual circumstances require. This category is usually reserved for supervisory positions or advanced journey level professional classes.

Administrative Direction

The employee has broad management responsibility for a large program or set of related functions. Administrative direction is usually received in terms of goals; review is received in terms of results. This category is usually reserved for administrators, managers, or assistant directors.

Policy Direction

This is reserved for department heads, division managers, and assistant/City managers.

Indirect Supervision

Indirect supervision is characterized by some form of authority over the work of employees not under direct supervision. In other words, the “supervisor” who provides indirect supervision is responsible for the work, but not for the worker. The descriptions above were written in relation to the employee under direct supervision; the following subsections describe persons with responsibility for exercising indirect supervision.

Technical Supervision

The “supervisor” is responsible for prescribing procedures, methods, materials, and formats as a technical expert in a specialty. S/he may produce or approve specifications, guides, lists, or directions. S/he may give direction to employees, but usually on “how” and “why,” and does not assign tasks or observe and evaluate performance. Technical supervision is related to an occupational specialty or function, not to specified employees.

Functional Supervision

The “supervisor” is responsible for a project or recurrent activities that involve tasks performed by persons over whom s/he has authority to give direction in regard to that project or activity, even though they are under the direct supervision of someone else. Functional supervision may include technical supervision, but goes beyond it in that the supervisor schedules and assigns tasks, monitors progress, reviews results, evaluates the employee regarding the area of assignment, and is the person responsible for the completed work product.

Occupational Groups and Job Description Language

The following defines the six major occupational categories that cover the City's job classifications and outlines the appropriate job description language required for each occupational category and the specific working levels, if any:

Executive Management – This category is reserved specifically for the City Manager and his/her direct reports (with the exception of any professional or clerical reports); positions at this level may be responsible for directly managing one or more departments within the City, or may have responsibility for policy development at the highest level within the City. The title shall include the term "At-Will".

- Definition Section: Work mainly involves problem solving and mediating highly conflicting, unexpected and unusual problems involving multiple groups. This section will also include the following language: "This is an at-will position that is outside of the regular position/employee system. Employment in this position may be terminated with or without cause or notice, at any time, at the will of the City in its sole discretion."
- Level of Supervision Received: This class works under administrative direction, which includes broad management responsibility for a large program or set of related functions. Work is usually received in terms of goals; review is received in terms of results.
- Level of Supervision Exercised: This class may provide direct and/or indirect supervision to lower level personnel.

Management – This work involves formulating, evaluating, authorizing and interpreting policy for a distinct organizational unit in a work unit of division of a department

- Definition Section: Work mainly involves problem solving and mediating highly conflicting, unexpected, and unusual problems involving multiple groups.
- Level of Supervision Received: This class works under administrative direction, which includes broad management responsibility for a large program or set of related functions. Work is usually received in terms of goals; review is received in terms of results.
- Level of Supervision Exercised: This class may provide direct and/or indirect supervision to lower level personnel.

Supervisory – This work involves planning, scheduling and assigning work for others to perform; reviewing, evaluating, and reporting on the performance of those supervised; and recommending changes to management for better achieving the

objectives of the organization. Such work constitutes the major part of the work of those job classifications.

- Definition Section: Work mainly involves having primary responsibility for full-time supervision of staff including hiring/firing, corrective action, and completing and conducting performance evaluations.
- Level of Supervision Received: This class works under direction, receiving general instructions regarding the scope and approach to projects or assignments, procedures and techniques are left to the discretion of the employee.
- Level of Supervision Exercised: This class provides direct and/or indirect supervision to lower level personnel.

Professional/Administrative – *Professional* - This work involves the continuous exercise of independent discretion and judgement in areas, which are predominantly intellectual, philosophical, governed by conceptual understanding, analytical and varied in character. *Administrative* - This work involves obtaining and analyzing information needed by management and developing, recommending and implementing policies, systems, and procedures, as authorized.

- Entry - this is the first level in the series and assignments are generally limited in scope.
 - Definition Section: Work mainly involves the review of information, including summarization, analysis, interpretation and re-presentation in a different format.
- Journey - this is the fully trained level within the series; incumbents are expected to be fully competent to independently perform the full range of duties.
 - Definition Section: Work mainly involves the gathering and interpretation of data dealing with problems and difficult situations. Incumbents may put forth alternative solutions for consideration.
 - Level of Supervision Exercised (if the class may be assigned supervisory responsibility): This class may provide indirect supervision to lower level personnel.
- Advanced Journey – this is the highly specialized and/or lead level responsible for the most complex assignments. Some positions may perform full supervisory duties but do not do so for a preponderance of time (50% or more).

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- Definition Section: Work mainly involves the gathering and interpretation of data dealing with complex problems and unexpected situations, including making recommendations.
 - Level of Supervision Exercised (if the class may be assigned supervisory responsibility): This class may provide direct and/or indirect supervision to lower level personnel; however, this supervisory responsibility is not the primary purpose of the class.

Technical/Paraprofessional – This work involves the use of specific skills, knowledge and abilities acquired for use in a specialized area. Employs practical knowledge to perform learned techniques, particularly in fiscal, scientific or mechanical areas.

- Entry - this is the first level in the series and assignments are generally limited in scope.
 - Definition Section: Work mainly involves performance of prescribed tasks in predictable order with minimal exceptions to standard procedures.
- Journey - this is the fully trained level within the series; incumbents are expected to be fully competent to independently perform the full range of duties.
 - Definition Section: Work mainly involves performing prescribed tasks in a somewhat predictable order. Exceptions are regular but are carried out according to pre-determined policies or procedures.
- Advanced Journey – this is the highly specialized responsible for the most complex assignments. Some positions may perform full supervisory duties but do not do so for a preponderance of time.
 - Definition Section: Work mainly involves the review of information, including summarization, analysis, interpretation and re-presentation in a different format.
 - Level of Supervision Exercised (if the class may be assigned supervisory responsibility): This class may provide direct and/or indirect supervision to lower level personnel; however, this supervisory responsibility is not the primary purpose of the class.

Clerical – This work involves the transformation, organization, transmittal, recording, or maintenance of data or information. The performance of this group may involve the use of a variety of manual or electronic office equipment.

- Entry - this is the first level in the series and assignments are generally limited in scope.

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- Definition Section: Work mainly involves performance of prescribed tasks in predictable order with minimal exceptions to standard procedures.
 - Journey - this is the fully trained level within the series; incumbents are expected to be fully competent to independently perform the full range of duties.
 - Definition Section: Work mainly involves performing prescribed tasks in a somewhat predictable order. Exceptions are regular but are carried out according to pre-determined policies or procedures.
 - Advanced Journey – this is the highly specialized level responsible for the most complex assignments. Some positions may perform supervisory duties but do not do so for a preponderance of time.
 - Definition Section: Work mainly involves the review of information, including summarization, analysis, interpretation and re-presentation in a different format.
 - Level of Supervision Exercised (if the class may be assigned supervisory responsibility): This class may provide direct and/or indirect supervision to lower level personnel; however, this supervisory responsibility is not the primary purpose of the class.

POSITION/CLASSIFICATION STUDIES

In addition to containing all of the agency's job classes, a classification plan also includes a systematic process for grouping jobs into common classifications based on similarities in duties, responsibilities, and requirements (knowledge, skills, and abilities). It is a way of formally describing the specific job classes of an agency to determine the appropriate class and/or level for a position or to update the specification content to more accurately describe the duties and responsibilities of a class. To properly maintain the classification plan, it is sometimes necessary to conduct classification and/or position studies which may involve anything from just a single-position audit to determine if it is properly classified to a study of entire classification series or organizational unit. If a class study results in a new class, significant revisions to an existing class, or a salary change, the City will follow the provisions of the applicable MOU in communicating those changes to the union. To help understand the process and issues related to classification studies, the information in this section provides answers to common questions about position and classification studies and outlines a typical process.

Why Are Studies Conducted?

- Gradual changes in duties performed.
- Changes in organizational relationships and responsibilities.
- Recruitment/retention problems.
- To ensure more equitable internal alignment—to establish an orderly, rational systematic structure of jobs based on their “worth.”
- To assist in setting pay rates that are comparable with related jobs in other organizations (although a compensations study would need to be conducted).
- Allows for measuring work against a common standard—plan and organize work effectively by defining work task, duties, responsibilities, functions, and related requirement.
- To identify a career ladder of progression or direction for employee advancement.
- Provide a solid foundation for addressing compensation issues (once again, a compensation study would need to be conducted).

When Are Studies Conducted?

- As part of the budget process, department heads may request class/position studies for their department in March through April of each year.
- Unless the class study is exceptionally large and/or the request was submitted at the end of the window period, every effort will be made to complete the study before the budget is finalized. This will allow for any impact(s) from the study to be addressed in the regular budget process.

What Happens During a Study?

The City's methodology for conducting a class study typically includes:

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- Maintaining reciprocal communication between HR and the study incumbent(s) and department.
 - Reviewing all pertinent documentation.
 - Providing a Position Description Questionnaire (PDQ).
 - Developing and/or updating classification specifications.
 - Conducting orientation sessions with all employees if there are several employees in the study.
 - Reviewing completed questionnaires.
 - Conducting interviews.
 - Analyzing the data.
 - Coordinating an informal review process.
 - Developing and presenting a preliminary report.
 - Developing and presenting a final report.

The PDQ is a form that is used to provide a detailed description of the duties and responsibilities of a position. If a PDQ was not submitted with the request, Human Resources will usually send the PDQ to the department for the incumbent to complete. Human Resources will research the history of the position and the class, and in most cases, interview the incumbent, the incumbent's supervisor, and other employees who perform similar work. These are called audits and are intended to:

- Gather information about duties and responsibilities, not to judge work performance.
- Audit both single position classes, as well as a group of position classes.
- Gather information about multiple position classes, which will be audited as a group, with selected representation from each group.
- Gather information from supervisors in order to provide clarification or additional information.
- Sometimes, other comparable agencies with similar classes will be asked to provide information. It is also important to interview the supervisor to clarify issues or identify issues that will occur in the near future that the employee may not be aware of.

The formal job evaluation process involves thoroughly researching, analyzing, determining, and documenting the responsibilities, duties, skills, knowledge, and abilities related to a position. Human Resources looks at various factors in determining the proper class, such as, but not limited to, decision making responsibilities; scope and complexity of work; nature of contact with others; required knowledge, skills, and abilities; supervision received and exercised; working conditions; physical effort and organizational level, size, etc. After all of the relevant information has been collected, a written recommendation is prepared. The written recommendation is an analysis of the data collected in which Human Resources will analyze data and prepare preliminary

recommendations. Recommendations are then reviewed and compiled in a draft report. Recommendations may include reallocating a position to a different classification, developing a new classification, changing the classification title, modifying the class specification, or determining that the position is appropriately classified and no revisions are warranted.

The report is sent to the involved department(s) for review. Changes may be made based on additional information provided to Human Resources by the involved department based on Human Resource's (or HR consultant's, if one is used) professional judgment.

If the study results in a recommendation to establish a new class or revise and/or retitle an existing class, then it may be required that the study go before the City Council. Salary issues are not to be addressed in a classification study. The purpose of a classification study is to determine the appropriate classification for a given position, not to determine the appropriate salary for a classification.

How long does it take to conduct a study?

A study may take a few weeks to several months. Some of the factors that affect the length of a study are the number of classes and positions included in the study, the amount of research necessary, the extent of the recommendations, the department's shifting priorities, the length of time it takes to get information from the department and/or incumbent, and the workload of Human Resources.

How is the incumbent involved in the study?

The incumbent's role is to thoroughly and accurately complete the PDQ so that Human Resources can fully understand the duties and responsibilities. Human Resources may also personally meet with the incumbent to discuss the PDQ in more detail, tour the work area, and/or possibly observe the incumbent performing certain tasks. Human Resources may also want to see samples of the incumbent's work. If the study is of an entire class with multiple incumbents, each incumbent may not be asked to provide information; rather, a representative sample will be selected and/or group interviews conducted. For single position classifications, each person generally participates in a desk audit. Human Resources may also meet with supervisors and managers to clarify information.

How is a Recommendation Developed?

The recommendation is based on the review of the information previously mentioned, and a comparison with the job description (also called class specification). A change may impact other positions in the class or another class. Some of the factors that do *not* influence a study are: volume of work, length of service, job stress, quality of work, status on eligibility lists, the fact that other employees are not working within their class, and the incumbent's particular qualifications. Incumbents should remember that the study is an evaluation of a *position*, and is not an evaluation of their performance.

Factors that May Justify a Reclassification

- Change in type of work/essential functions (e.g. secretary now doing accounting work.)
- Change in lead/supervisory responsibilities.
- Change in authority for making operational changes or in developing, recommending, and interpreting policies and procedures and the impact to the organization (work group/section only? Division? Department? Citywide impact?)
- Addition of stronger, more complex duties/removal of lower duties.
- Change in organizational structure or mandate that affects reporting relationships, level in the organization, amount of management review, and/or interactions.

Factors that do NOT Justify a Reclassification

- Performance of the incumbent in the position; reclassification should not be considered a reward or means to promote someone.
- Retention of a specific employee.
- Increase in workload that is of the same nature and level of complexity (volume) - this is a workload issue.
- Change in the emphasis of existing essential functions that are generally of the same complexity.
- Knowledge, skills, and abilities possessed by the incumbent which are not required or regularly used in the position.
- Technological changes or tools (i.e. new software) that does not substantially alter the essential functions of the job (particularly if the “industry” is similarly changing to the new technology.)
- Job “stress.” Perceived stress cannot be reliably measured and varies between individuals.

If a Position is Changed, Does it Automatically Affect the Incumbent?

No. Since the study is of the positions, the effect to the incumbent is a separate issue from the study. When a position is reclassified to a higher class, some of the factors considered include: Developing and/or updating classification specifications; whether the incumbent’s position was part of a study which affects all employees in a department, major division, or occupational field; and/or if the duties of the position evolved over a long period of time. The City’s policy, if a position is reclassified, is that the employee must meet the minimum qualifications before they can move into the recommended classification. If they do not, then it may be necessary to find the employee another position in the class that that they have status in; if no such vacancy exists, then a lay off may be necessary.

Allocation Factors

Allocation factors are standards that are used to measure job requirements of individual positions. These factors can be compared in order to measure the similarities and differences among positions. The allocation factors used to develop the City’s classification plan are:

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- Decision-Making
 - Scope and Complexity
 - Contact with Others Required by the Job
 - Supervision Exercised and Received
 - Minimum Qualifications Including Knowledge and Abilities

These allocation factors are carefully and consistently applied during the analysis of each position included in the study. They are then compared with the same elements in positions that involve similar kinds of work. Not all factors will be as pertinent to all positions, and each factor is analyzed in accordance with the importance of that particular factor to the type of job.

Consideration of these allocation factors leads to the identification of various classes. More specifically, positions are typically divided first into classification families and series that involve the same kind of work, and then subdivided into classes based on levels of responsibility within each group.

Positions are classified according to the nature and kind of duties assigned to the position. The assignment of additional duties of a similar nature to a position does not justify a higher classification. Problems of excessive workload are properly solved by redistributing work or adding employees, not by reclassifying existing positions.

The allocation factors are briefly defined below:

- **Decision-Making**
Decision-making consists of (a) the decision making responsibility and degree of independence or latitude that is inherent in the position, and (b) the impact of the decisions.
- **Scope and Complexity**
Scope and complexity define the breadth and difficulty of the assigned function or program responsibility inherent in the classification.
- **Contact with Others Required by the Job**
This allocation factor measures (a) the types of contacts, and (b) the purpose of the contacts.
- **Supervision Exercised and Received**
This allocation factor describes the level of supervision received from others and the nature of supervision provided to other workers. It relates to the independence of action inherent in a position.
- **Minimum Qualifications which include Knowledge, Skills, and Abilities**
This allocation factor defines the required experience and education, knowledge, skills, and abilities necessary to perform assigned responsibilities.