

**HRSD CLASSIFICATION AUDIT PLAN
OREGON DEPARTMENT OF FORESTRY FIELD CLASS STUDY**

AUDIT PURPOSE AND SCOPE

The purpose of this audit is to review Oregon Department of Forestry (ODF) allocations to new classes in the Forestry Field Class Study. This audit will also review the Fair Labor Standards Act (FLSA) and service type designations for each position selected for review.

Forestry Field Class Study					
Dispatch		Suppression		Manager	
New Class #	New Classification	New Class #	New Classification	New Class #	New Classification
8253	Forest Lookout	8254	Wildland Fire Suppression Specialist Entry	8259	Forest Manager 1
8263	Wildland Fire Dispatch Entry	8255	Wildland Fire Suppression Specialist	8260	Forest Manager 2
8264	Wildland Fire Dispatcher	8256	Forest Officer Entry	8261	District Forest Manager
8265	Wildland Fire Dispatch Supervisor	8257	Forest Officer	8262	Area Forest Manager
		8258	Wildland Fire Suppression Supervisor		

REFERENCES

ORS 240.215 states the responsibility of the Human Resource Services Division (HRSD) and agencies to adopt and maintain classification plans. This law allows HRSD to audit agency allocations to classifications.

HRSD State Policy 30.000.01, Position Management, states in relevant part:

“(1) State agencies shall manage work assignments within the budgeted position classification levels. Accordingly, an appointing authority shall:

(a) Develop and maintain a complete and current position description for each position which accurately describes the duties, authorities and responsibilities assigned by management.

(b) Allocate each position to the available class that best depicts the assigned duties, authorities and responsibilities and maintain written documentation of allocation decision rationale.

(A) Allocation, reallocation, and reclassification decision documentation shall include an accurate, current written position description and organization chart; and a clear narrative justification for the allocation based on relevant classification specifications. At a minimum, the narrative justification should include the: 1) reason for the position review or establishment; 2) information and classifications considered; 3) analysis; and 4) classification decision.

(1)(c) Determine and maintain accurate statutory assignment or representation identifications of each position....”

HRSD State Policy 20.005.20, Fair Labor Standards Act, states in relevant part:

"(1) The state shall comply with provisions of the Fair Labor Standards Act (FLSA) and Oregon Wage and Hour Laws....(1)(a) The appointing authority shall determine the status of each employee, either exempt or non-exempt from overtime, using Department of Labor (DOL) and Bureau of Labor and Industries (BOLI) guidelines, and keep accurate records of FLSA status, work week and overtime."

ORS 240.195; 240.200; 240.205; 240.210; 240.212; and 243.650 define categories of state service for positions.

AUDIT METHODOLOGY AND ELEMENTS

Overall Methodology – The HRSD Classification and Compensation Section will provide a database of positions allocated to new classifications in the Forestry Field Class Study. A random sample will identify positions selected for review. The audit data will draw from 607 positions to select a sample of 75 positions. The 75 sampled positions will include at least one “from/to” combination for each classification and no less than 10% of the agency’s allocations. The ODF will provide a current position description and written analysis justifying the allocation for each selected position. The audit will also review 11 positions allocated to classes outside the study.

1. Element – Ensure the agency has allocated each sampled position to the correct classification.

Element Risk Assessment* = 1 (Monetary / Adverse Impact)

Methodology – Examine each position description and agency analysis provided for the selected position. Ensure the classification chosen by the agency most accurately describes the work based on the assigned duties, authorities and responsibilities.

2. Element – Ensure the agency has correctly designated each selected position under the FLSA.

Element Risk Assessment* = 1 (Monetary / Adverse Impact)

Methodology – Examine each position description and agency analysis provided for the selected position. Ensure the position duties, authorities and responsibilities meet the criteria of the assigned FLSA designation of exempt or non-exempt.

3. Element – Ensure the agency has assigned each selected position to the correct state service.

Element Risk Assessment* = 1 (Monetary / Adverse Impact)

Methodology – Examine each position description and agency analysis provided for the selected position. Ensure the position duties, authorities and responsibilities meet the criteria for the assigned type of service.

4. Element – Ensure each position description is complete and current.

Element Risk Assessment* = 2 (Adverse Impact)

Methodology – Examine each position description provided for the selected position. Ensure the position description is current and includes the required information in each section. The position description should be signed and dated by an appointing authority.

5. Element – Ensure the submitted documents include the required components.

Element Risk Assessment* = 2 (Adverse Impact)

Methodology - Examine documents provided by the agency for each selected position. Ensure the documents include a 1) complete position description, 2) organization chart, and, 3) clear written analysis for the allocation.

HR AUDIT CONSULTING AND CORRECTIVE ACTIONS

The HR Audit Unit may consult with the agency to implement audit recommendations and ensure compliance with personnel laws, rules and policies. The Element Risk Assessment rating may be applied when developing corrective action plans or consulting on best practices.

SYSTEM DATA SOURCES

A report will be produced using data in the Classification Allocation database. This database contains each position allocated to a classification in the Forestry Field Class Study and relevant data from the Position and Personnel Data Base (PPDB) for each position. The report will include the following data fields:

- Agency number
- Employee name
- Authorization Number
- Position number
- Current Position Classification Number
- Current Position Classification Title
- Allocation Classification Number
- Allocation Classification Title
- Position FLSA Designation
- Employee FLSA Designation
- Position Overtime Eligibility
- Employee Overtime Eligibility
- Position Service Type
- Employee Service Type

ELEMENT RISK ASSESSMENT (ERA)

1	There is a significant potential for monetary impact resulting from penalties, legal action or loss of productivity. There is also the potential for significant adverse impact on the health, welfare or safety of those served, or the public's perception of state government resulting from inappropriate expenditures and/or poor stewardship of public funds and resources. Corrective actions assume <i>prompt</i> compliance by the agency. Follow-up actions may include further analysis of the audit subject or agency human resource management practice.
2	There is a moderate potential for monetary impact resulting from penalties or legal action or loss of productivity. There is also the potential for a moderate adverse impact on the health, welfare or safety of those served, or the public's perception of state government resulting from inappropriate expenditures and/or poor stewardship of public funds and resources. Corrective actions assume <i>timely</i> compliance by the agency. Follow-up actions may include further analysis of audit subject or agency human resource management practice.
3	There is a potential for relatively low or no monetary impact resulting from penalties or legal action or loss of productivity. The practice does not constitute a best management practice and may cause minor disruptions and inconveniences to others or the workflow. Corrective actions are in the form of recommendations for future practices or for agency to receive training in an identified human resource management area. This may include further analysis of audit subject or agency human resource management practice.