

**California Department of Human Resources'
(CalHR) Human Resources Quality Review
(HRQR)
for the Department of Toxic Substances
Control (DTSC)
2010-2012**

DTSC HRQR REPORT

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California Department of Human Resources Human Resources Quality Review

RED STATUS TAG: **ACTION REQUIRED**

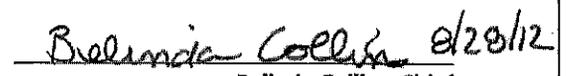


Department of Toxic Substances Control is **directed to:**

- Continue to submit all future Staff Services Manager I/II and III RPA packages to CalHR for approval until February 23, 2013, at which time delegation will be re-reviewed
- Submit Corrective Action Plans for all misallocations identified in the 1st and 2nd Phase Findings reports within 30 calendar days commencing from the date of the signature below or further conditions and expectations will be required

And is,

- Subject to random position reviews for a period of 1 year commencing on the date of signature below


Belinda Collins, Chief
Personnel Management Division

Department of Toxic Substances Control
Final Summary Report
2010/2012

Purpose of Review

The California Department of Human Resources (CalHR) is responsible for administrating the State's civil service classification plan. Previously, CalHR delegated position allocation responsibility to line departments in order to facilitate ease of allocations, expedite decision making and increase system efficiency. The delegation was given with the expectation that line departments would maintain the integrity of the State's overall classification system and engage in sound personnel management practices.

CalHR's Personnel Management Division (PMD) conducted a Human Resource Quality Review (HRQR) of Department of Toxic Substances Control's (DTSC) position allocation function. The review was intended to assure that DTSC is adhering to the above principles as well as the various laws, rules, policies, procedures and personnel management principles associated with position allocation. The review also identified ways to achieve more effective and efficient personnel management. Specifically, PMD evaluated DTSC's position allocation process and the quality of individual position allocations.

Process

CalHR's HRQR review consisted of two review phases separated in time by training provided to DTSC's HR staff and a six-month "test period." This approach provided a way to measure improvement in DTSC's position allocation error rate "before" and "after" training.

The first phase review began in November 2010, and included a review of 34 position allocation packages using DTSC organization charts and historical knowledge of the DTSC organization and service-wide classes. These service-wide classes included Staff Services Manager I, Staff Services Manager II, Associate Governmental Program Analyst, and Office Technician. The review also included department-specific classes.

A memorandum dated February 15, 2011, provided DTSC the first phase preliminary findings and identified 19 of the 34 position allocation packages as problematic, either because they were misallocated or CalHR did not have sufficient information to make informed allocation decisions. DTSC was provided an opportunity to submit missing documentation to support a position or to dispute the preliminary findings.

On February 28, 2011, DTSC requested extensions to the due dates and CalHR approved the extensions as requested.

On March 14, 2011, DTSC sent in their response to the 13 UTD positions as identified in the First Phase Findings Report. Of the 13 UTD positions identified, DTSC submitted documentation in support of all 13 positions.

After the HRQR Team reviewed all submitted documentation, DTSC lowered their overall error rate from 56% (18% UTD and 38% misallocated) to 24% by resolving 11 of the 13 UTD positions. DTSC submitted adequate information to resolve a total of 11 positions and the remaining two positions were found to be misallocated.

CalHR used the first phase findings to develop training sessions on duty statement development, class specification interpretation, position allocation, out of class process, compensation program, and the board item process. This training was interactive by design to assure understanding and promote improved allocation decisions in the future.

Training was provided to DTSC HR staff in December 2010. After training, DTSC was then placed on a six-month "test period" from December 2010, until May 31, 2011.

The second phase review began in October 2011 and included a review of 56 position allocation packages. CalHR reviewed all supervisor and managers positions in the department. Positions included Data Processing Manager I/II, classes in the Accounting Administrator series, Staff Services Manager I/II and III, Information Officers, as well as all Division Chief, DTSC,CEA and the 7500 classification of CEA.

A memorandum dated February 16, 2012, provided DTSC the second phase findings and identified 41 of the 56 position allocation packages as problematic, either because they were misallocated or CalHR did not have sufficient information to make informed allocation decisions. DTSC was provided an opportunity to submit missing documentation to support a position or to dispute the preliminary findings prior to its final release.

On March 16, 2012, DTSC sent in their response to the 16 UTD positions. After receiving an approved extension on the 30 day response period, DTCS responded to the 23 misallocated positions on April 16 and April 30, 2012.

With the information provided, DTSC lowered their overall error rate from 70% (41% misallocated and 29% UTD) to a 50% error rate by resolving eight of the 16 UTD positions and five of the 23 misallocated positions. DTSC submitted information to resolve a total of 13 positions during the response time.

Findings

Following is a summary of CalHR's findings identified during the first and second phase reviews and has been adjusted accordingly after additional information was received from DTSC's responses:

Description	First Phase	Second Phase	Final
Total number of positions reviewed	34	56	90
Positions correctly allocated	29	28	57
Positions found to be misallocated	5*	28	33
Unable to determine proper allocation of position	0	0	0

*Eight outstanding misallocations remained from the first phase review. DTSC provided new organizational charts for three of the positions, reflecting the appropriate supervisory/subordinate reporting relationships. These positions are currently correctly allocated. The other five positions remain misallocated and have been factored into DTSC's final error rate.

While DTSC was able to provide documentation to support eight of the sixteen UTD positions and five of the 23 misallocated positions from the second phase review, significant problems remain:

- Upon completion of training provided to HR staff, DTSC continues to experience an unacceptable misallocation error rate of 59% (5 misallocated positions unresolved from the first phase review and 28 misallocated positions out of 56 from the second phase review). CalHR considers a 10% misallocation error rate as acceptable.
- 29% of the position allocation packages reviewed during the second phase review had insufficient information on which to base an informed allocation. The absence of this information is contrary to delegation requirements and inconsistent with reasonable and effective personnel management.
- Section 320 of CalHR's Classification and Pay Manual in part states that, "(u)nder...delegated authority, the department must maintain copies of the duty statements, organization charts, and justification memoranda in an orderly and systematic manner and keep them on file for program review."

Recommendations for Improvements

The HRQR Team has identified adjustments that would improve the quality of their position allocation decisions. The following is a listing of these recommendations:

- Centralize review of the more difficult or questionable allocation decisions and have an HR supervisor make final decisions on the more problematic or difficult position allocations

- Assign a lead or more senior HR analyst to mentor less experienced staff and review their work before granting final approval
- Provide in-house training to supervisors, managers, and staff on proper completion of required documents to be included in RPA packages
- Clearly identify the impacted position on the organizational charts by highlighting, circling, or by adding some other identifying mark
- Create check lists or other procedural tools to assist in the allocation decision making process to ensure all required documents are received
- Carefully research and select the appropriate classification when receiving request for position reclassification from management

Conclusion

In general, CalHR identified four major concerns found in the HRQR review which require DTSC to take the following actions:

1. Misuse of the SSM series

Continue to submit all future Staff Services Manager RPA packages to CalHR for approval until February 23, 2013, at which time delegation will be re-reviewed. (*SSM delegation was rescinded effective February 22, 2012*).

2. High misallocation error rate of 59%

Submit Corrective Action Plans for all misallocation identified in the first and second phase findings reports within 30 calendar days commencing from the date of the signature on the status tag or further conditions and expectations will be required.

3. Random Review

DTSC's misallocation error rate of 59% is more than five times higher than the acceptable range and is considered unacceptable. Therefore, the error rate will be identified with a "Red Tag" status denoting DTSC's overall standing and requires DTSC to be subject to a one year random review period commencing on the date of the signature on the status tag.

CalHR will re-evaluate DTSC's current red status certification to determine if a new certification is appropriate after the following occurs:

- 1) Development of acceptable resolutions to the misallocations that have been identified in this

review.

2) Correction to the other issues listed in this report.

3) Completion of a random position review to be done by PMD during the next 12 months.

Expression of Appreciation

CalHR would like to thank Debbie Raphael and Odette Madriago and the DTSC staff for their cooperation in participating in the HRQR. Your corporation in providing space and required documents for the HRQR Team to conduct the allocation review is appreciated.

CalHR also acknowledges the HRQR Team members: Debbie Baldwin, Review Team Leader, and Team Members Kris Flachman, Melissa Russell, and Andrea Sherman. Their extensive HR knowledge and varied experience provided a valuable mix of insights and innovations needed for this review.

**Department of Toxic Substances Control HR Quality Review
Addendum – First and Second Phase Findings
August 2012**

This addendum captures reports on eight unresolved positions identified as misallocated in the First Phase Findings report. These positions were not resolved during the response time and remained misallocated after the issuance of the Addendum to the First Phase Findings report. Additionally, this addendum captures DTSC's response to the Second Phase Findings report.

DTSC's Response to First Phase Unresolved Positions

On June 28, 2011, DTSC submitted Corrective Action Plans (CAPs) for the eight misallocated positions. CalHR reviewed the plans and rejected all eight.

On July 26, 2011, CalHR issued DTSC the Addendum to the First Phase Findings report, notifying the department that the eight positions are misallocated and if not appropriately corrected, would be counted as misallocations in the Final Summary Report. All misallocations left uncorrected count toward a department's final error rate.

On December 29, 2011, CalHR sent DTSC a memorandum again addressing the unresolved misallocations. On January 5, 2012, DTSC requested a one week extension to respond. CalHR granted the extension until January 20, 2012. On January 12, 2012, DTSC sent in CAPs for all eight positions. After review, CalHR rejected five of the CAPs. Those five positions remain misallocated and have been factored into DTSC's final error rate. The findings from the first phase review are as follows:

Final First Phase Findings

Description	Original First Phase Findings	After First Phase Addendum	After Final Overall Summary
Total number of positions reviewed	34	34	34
Correctly Allocated	15	26	29
UTD	13	0	0
Misallocated	6	8	5

(Resolved) Correctly Allocated Positions:

30. Position Number: 810-969-3566-001
Current Class: Supervising Hazardous Substances Scientist I

Departmental Response: DTSC provided a new organizational chart and duty statement for review.

CalHR Final Determination: currently correctly allocated

31. Position Number: 810-920-7576-002

Current Class: Supervising Criminal Investigator II, DTSC

Departmental Response: The programs within the Office of Criminal Investigations were restructured to reflect the appropriate supervisory/subordinate reporting relationships and a current organizational chart was provided.

CalHR Final Determination: currently correctly allocated

32. Position Number: 810-925-7576-002

Current Class: Supervising Criminal Investigator II, DTSC

Departmental Response: The programs within the Office of Criminal Investigations were restructured to reflect the appropriate supervisory/subordinate reporting relationships and a current organizational chart was provided.

CalHR Final Determination: currently correctly allocated

Misallocated Positions:

26. Position Number: 810-252-1373-001

Current Class: Systems Software Specialist II (Technical)

Departmental Response: Submitted CAP

CalHR Final Determination: CAP approved pending an exceptional allocation request; remains misallocated until exceptional allocation request is approved

25. Position Number: 810-854-4801-014

Current Class: Staff Services Manager II

Departmental Response: Submitted a CAP

CalHR Final Determination: CAP rejected; remains misallocated

29. Position Number: 810-820-4802-001

Current Class: Staff Services Manager III

Departmental Response: Submitted a CAP

CalHR Final Determination: CAP rejected; remains misallocated

33. Position Number: 810-820-5157-710

Current Class: Staff Services Analyst

Departmental Response: Submitted a CAP

CalHR Final Determination: CAP rejected; remains misallocated

34. Position Number: 810-260-4801-001
Current Class: Staff Services Manager II

Departmental Response: Submitted a CAP
CalHR Final Determination: CAP rejected; remains misallocated

DTSC's Response to Second Phase Findings

On February 16, 2012, CalHR provided DTSC their Second Phase Findings report. The report summarized CalHR's findings of the 56 positions reviewed and established expectations and requirements for DTSC. DTSC was asked to submit documentation to substantiate the 16 positions identified as "Unable to Determine" (UTD) or to dispute any of the 23 positions identified as misallocated in the second phase review within 30 calendar days.

On March 16, 2012, DTSC sent in their response to the 16 UTD positions. After receiving an approved extension on the 30 day response period, DTSC responded to the 23 misallocated positions on April 16 and April 30, 2012.

With the information provided, DTSC lowered their overall error rate from 70% (41% misallocated and 29% UTD) to a 50% error rate by resolving eight of the 16 UTD positions and five of the 23 misallocated positions. DTSC submitted information to resolve a total of 13 positions during the response time.

The following is a summary of CalHR's findings identified during the second phase review, incorporating DTSC's responses:

Final Second Phase Findings

Description	Original Review	After Response Time
Total number of positions reviewed	56	56
Correctly Allocated	15	28
UTD	16	0
Misallocated	23	28
CEA salaries not approved	2	N/A

Correctly Allocated Positions:

3. Position Number: 810-250-1384-001
Current Class: Data Processing Manager II

Departmental Response: Provided an updated organizational chart, additional information for justification of the position, and an updated duty statement.

CalHR Final Determination: correctly allocated.

4. Position Number: 810-920-4247-001
Current Class: Health Program Audit Manager I

Departmental Response: Provided an updated organizational chart, additional information for justification of the position, and an updated duty statement.
CalHR Final Determination: correctly allocated; position was vacated in 2011 and will be transferred to another department per the Governor's Office budget on 6/30/12.

17. Position Number: 810-230-4800-002
Current Class: Staff Services Manager I

Departmental Response: Provided revised January 2012 organizational chart showing the minimally required professional subordinate staffing level of three.
CalHR Final Determination: correctly allocated; **MARGINAL**

23. Position Number: 810-840-4800-003
Current Class: Staff Services Manager I

Departmental Response: Provided an updated organizational chart, additional information for justification of the position, and an updated duty statement.
CalHR Final Determination: correctly allocated; **MARGINAL**

30. Position Number: 810-520-4801-001
Current Class: Staff Services Manager II

Departmental Response: Provided revised January 2012 organizational chart reflecting the required professional subordinate staffing level.
CalHR Final Determination: correctly allocated; **MARGINAL**

32. Position Number: 810-521-4800-021
Current Class: Staff Services Manager I

Departmental Response: Provided revised January 2012 organizational chart showing the position was downgraded to a Staff Services Manager I and reflects the minimally required professional subordinate staffing level.
CalHR Final Determination: correctly allocated

33. Position Number: 810-700-4801-001
Current Class: Staff Services Manager II

Departmental Response: Provided an updated organizational chart, additional information for justification of the position, and an updated duty statement.
CalHR Final Determination: correctly allocated; **MARGINAL**

50. Position Number: 810-520-3833-011
Current Class: Division Chief, CEA

Departmental Response: Provided an updated organizational chart, additional information for justification of the position, and an updated duty statement.
CalHR Final Determination: correctly allocated

51. Position Number: 810-521-3833-001
Current Class: Division Chief, CEA

Departmental Response: Provided an updated organizational chart, additional information for justification of the position, and an updated duty statement.
CalHR Final Determination: correctly allocated

52. Position Number: 810-904-3833-001
Current Class: Division Chief, CEA

Departmental Response: Provided a current duty statement and a revised January 2012 organizational chart accurately reflecting the reporting relationship between the (3833) CEA and the exempt Deputy Director.
CalHR Final Determination: correctly allocated

55. Position Number: 810-280-7500-030
Current Class: CEA

Departmental Response: Provided the CEA position request to reactivate an inactive CEA position. CalHR confirmed the CEA position no longer exists at DTSC.
CalHR Final Determination: correctly allocated

56. Position Number: 810-250-7500-016
Current Class: CEA

Departmental Response: Provided RPA package including current and proposed duty statements and current and proposed organizational charts.
CalHR Final Determination: correctly allocated

62. Position Number: 810-800-7500-001
Current Class: CEA

Initial Findings: Although this position is appropriately allocated, the CEA salary, when the appointment of Aaron Robertson was made, was set at maximum of the CEA 3 salary range which was inappropriate. Per PML 2008-012, appointments of CEAs must be made at minimum of the CEA range or at 5% above the candidate's current salary; whichever is better for the candidate. Any exception to the appointment salary must be approved by CalHR and approval for a salary exception in this case was not given.

CalHR Final Determination: Previous incumbent no longer in this position, salary is now appropriate.

Misallocated Positions:

5. Position Number: 810-820-4542-002
Current Class: Accounting Administrator II

Departmental Response: Submitted a 625 request for an exceptional allocation.
CalHR Final Determination: request denied; remains misallocated

6. Position Number: 810-820-4542-003
Current Class: Accounting Administrator II

Departmental Response: Submitted a 625 request for an exceptional allocation.
CalHR Final Determination: request denied; remains misallocated

7. Position Number: 810-820-4545-001
Current Class: Accounting Administrator III

Departmental Response: Submitted a 625 request for an exceptional allocation.
CalHR Final Determination: request denied; remains misallocated

9. Position Number: 810-820-4549-001
Current Class: Accounting Administrator I (Sup)

Departmental Response: Provided a current duty statement and revised January 2012 organizational chart.
CalHR Final Determination: remains misallocated

16. Position Number: 810-704-4800-001
Current Class: Staff Services Manager I

Departmental Response: Submitted a 625 request for an exceptional allocation.
CalHR Final Determination: request denied; remains misallocated

19. Position Number: 810-260-4800-015
Current Class: Staff Services Manager I

Departmental Response: Submitted CAP stating that position is scheduled to be abolished but no verification was provided.
CalHR Final Determination: unresolved; remains misallocated

20. Position Number: 810-753-4800-002
Current Class: Staff Services Manager I

Departmental Response: Submitted CAP stating that position is scheduled to be abolished but no verification was provided.

CalHR Final Determination: unresolved; remains misallocated

27. Position Number: 810-800-4800-004

Current Class: Staff Services Manager I (Specialist)

Departmental Response: Provided a current duty statement and revised January 2012 organizational chart, but did not provide a justification memo.

CalHR Final Determination: remains misallocated

28. Position Number: 810-820-4800-016

Current Class: Staff Services Manager I (Specialist)

Departmental Response: Provided a current duty statement and February 2012 organizational chart, but did not provide a justification memo (position on loan to another department).

CalHR Final Determination: remains misallocated

29. Position Number: 810-210-4800-901

Current Class: Staff Services Manager I

Departmental Response: Submitted CAP stating that position is vacant but no information on the position's actual duties was provided.

CalHR Final Determination: unresolved; remains misallocated

31. Position Number: 810-260-4801-001

Current Class: Staff Services Manager II (Supervisor)

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

34. Position Number: 810-820-4802-002

Current Class: Staff Services Manager III

Departmental Response: Provided a current duty statement and revised January 2012 organizational chart.

CalHR Final Determination: remains misallocated

35. Position Number: 810-854-4801-014

Current Class: Staff Services Manager III

Departmental Response: Submitted CAP stating that position is scheduled to be abolished but no verification was provided.

CalHR Final Determination: unresolved; remains misallocated

36. Position Number: 810-820-5303-011

Current Class: Staff Administrative Analyst –Accounting Systems

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

37. Position Number: 810-700-5595-001

Current Class: Information Officer II

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

38. Position Number: 810-340-5595-003

Current Class: Information Officer II

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

39. Position Number: 810-700-5595-002

Current Class: Information Officer II

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

47. Position Number: 810-820-4802-001

Current Class: Staff Services Manager III

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

48. Position Number: 810-260-4802-001

Current Class: Staff Services Manager III

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

49. Position Number: 810-260-4801-002

Current Class: Staff Services Manager II

Departmental Response: Submitted a 625 request for an exceptional allocation.

CalHR Final Determination: request denied; remains misallocated

53. Position Number: 810-340-3833-003

Current Class: Division Chief, DTSC, CEA

Departmental Response: Submitted CAP stating that position is scheduled to be abolished but no verification was provided.
CalHR Final Determination: unresolved; remains misallocated

54. Position Number: 810-230-3833-001
Current Class: Division Chief, DTSC, CEA

Departmental Response: Submitted CAP disputing the findings
CalHR Final Determination: CAP approved pending an exceptional allocation request; remains misallocated until exceptional allocation request is approved

57. Position Number: 810-820-7500-018
Current Class: CEA

Departmental Response: No information provided in the package.
CalHR Final Determination: remains misallocated

58. Position Number: 810-200-7500-002
Current Class: CEA

Departmental Response: No information provided in the package.
CalHR Final Determination: remains misallocated

59. Position Number: 810-700-7500-021
Current Class: CEA

Departmental Response: Submitted CAP stating that position is scheduled to be abolished but no verification was provided.
CalHR Final Determination: unresolved; remains misallocated

60. Position Number: 810-800-7500-003
Current Class: CEA

Departmental Response: Submitted CAP
CalHR Final Determination: CAP rejected; remains misallocated

61. Position Number: 340-7500-001
Current Class: Staff Services Manager III

Departmental Response: Submitted CAP stating that position is scheduled to be abolished but no verification was provided.
CalHR Final Determination: unresolved; remains misallocated

63. Position Number: 810-340-7500-019
Current Class: CEA

Departmental Response: Submitted CAP
CalHR Final Determination: CAP rejected; remains misallocated



MEMORANDUM



DATE: February 16, 2012
TO: Kim Poh, Manager
Department of Toxic Substances Control
Human Resources Office
1001 I Street, 21st Floor
Sacramento, CA 95812-0806
FROM: **Debbie Baldwin**
Personnel Program Advisor
Classification and Compensation Division
(916) 323-8495; FAX (916) 327-1886
Email: debbiebaldwin@dpa.ca.gov
SUBJECT: Human Resources Quality Review – Second Phase Review Report

This memorandum reports the Department of Personnel Administration's (DPA) findings for the second phase of our Human Resources Quality Review (HRQR) of the Department of Toxic Substances Control (DTSC). The second phase review was intended to determine if any improvement had been made in DTSC's position review process and in the quality of the position allocation decisions made by DTSC Human Resources (HR) staff. In addition, based on the review of DTSC's current organizational charts, the HRQR included additional positions in the second phase review. This included all supervisors and managers and CEA allocations and salaries.

Findings

Total number of positions reviewed	56
Positions correctly allocated	15 (27% of sample)
Positions unable to classify due to lack of or inadequate documentation (UTD)	16 (29% of sample)
Positions found to be misallocated	23 (41% of sample)
CEA salaries not approved	2 (3% of sample)

A detailed list of the positions reviewed in the second phase can be found in Attachment A.

Summary of General Findings

- 15 (27%) of the 56 position allocation decisions were correct. DTSC's current error rate is at 70% (41% misallocated and 29% unable to determine). DPA considers an error rate of 10% or lower as acceptable, 10%-20% as marginal, and over 20% as unacceptable.
- DTSC did not have approval to exceed the salary level for 2 CEA positions. Per PML 2008-012, any CEA exceeding the maximum salary of the CEA level must be approved by DPA.

- For 11 out of 56 allocation packages requested, DTSC submitted empty files that were either completely empty or only contained an unsigned organizational chart.
- Organizational charts reveal that 11 out of 56 supervisor and manager positions were not properly supported due to an insufficient number of subordinate staff.
- The organizational charts and duty statements were not clearly identified as “current” and “proposed” when applicable.
- Duty statements and organizational charts should include authorization signatures and dates.
- During the course of the review, the HRQR Review Team noted what appeared to be problematic areas outside of the sample review and would like to draw attention to the following:

1) July/August 2011 organizational charts show two Executive Assistants (EA) in the Office of External Affairs with inappropriate reporting relationships. One EA is reporting to a Staff Services Manager I and the other is reporting to a CEA I. DTSC should take appropriate corrective action for both positions.

2) July/August 2011 organizational charts show a Senior Hazardous Substances Scientist and a Hazardous Substances Scientist both reporting to Staff Service Managers in Administrative Services, Workforce Development and Systems Improvement. Upon initial review, these two positions appear to be inappropriately allocated. DTSC should investigate how these classifications are being used and either take appropriate corrective action or support the need for scientist classes to be used in Administrative Services.

3) DTSC should provide further clarification on the General Auditor III that is housed in the Budgets/Financial Planning Division and that reports to an Accounting Administrator II.

Conclusion

The current error rate of 70% (41% misallocated and 29% unable to determine) is considered unacceptable. However, DTSC can improve this rating by taking the following actions:

1. Submit the requested documentation for the sixteen (16) positions identified as “Unable to Determine” (UTD), to DPA within 30 calendar days from the date of this memorandum. Each position reviewed has been assigned a number. Please use that number when responding. If DPA determines all 16 of these positions are properly allocated, DTSC's error rate will then be reduced to 55%. If DPA determines that only a portion of these positions have been properly allocated, the error rate will be adjusted accordingly. If the documentation for the

UTD positions is not submitted within 30 calendar days, the positions will be considered misallocated and will remain in DTSC's overall error rate.

2. Take approved Corrective Action for the twenty-three (23) positions identified as "Misallocated Positions" in Attachment A within 30 calendar days from the date of this memorandum. Each position reviewed has been assigned a number. Please use that number when responding. Refer to Section 360 of the Classification and Pay Guide (C&P Guide) for details on the Corrective Action Plan (CAP) process and options for correction. The misallocations must be corrected within the 30 calendar day response period and approved by DPA. The error rating will then be accordingly adjusted.

Note: Submission of a CAP alone, without the Corrective Action actually having occurred, does not meet the criteria.

3. If applicable, provide a written response to dispute any contents within 30 calendar days from the date of this memorandum. Each position reviewed has been assigned a number. Please use that number when responding. This information will be included in the DTSC's HRQR Final Summary Report.

Questions and all responses regarding the second phase findings should be directed to me.

**Human Resource Quality Review
Department of Toxic Substances Control
Second Phase Review Report**

Correctly Allocated

The following positions comprise the fifteen (15) positions which DPA found to be properly allocated. No action is necessary for these positions.

Four positions are marked "Marginal". In this case, DTSC should bolster the position's duties immediately and further strengthen the position upon refill. Although the positions represent an acceptable allocation, the assigned duties and/or staffing levels meet minimum levels of acceptability to the assigned class and borders on becoming a misallocation if further weakened. Marginal allocations should not be used for comparative purposes.

1. Position Number: 810-250-1381-003
Current Class: Data Processing Manager I
2. Position Number: 810-250-1384-002
Current Class: Data Processing Manager II
8. Position Number: 810-820-4549-002
Current Class: Accounting Administrator I (Sup)
10. Position Number: 810-430-4719-001
Current Class: Supervising Environmental Planner
11. Position Number: 810-820-4800-015
Current Class: Staff Services Manager I
12. Position Number: 810-703-4800-001
Current Class: Staff Services Manager I
13. Position Number: 810-200-4800-003 MARGINAL
Current Class: Staff Services Manager I
14. Position Number: 810-840-4800-002 MARGINAL
Current Class: Staff Services Manager I
15. Position Number: 810-702-4800-001 MARGINAL
Current Class: Staff Services Manager I
18. Position Number: 810-820-4800-001
Current Class: Staff Services Manager I

21. Position Number: 810-291-4800-002
Current Class: Staff Services Manager I

22. Position Number: 810-210-4800-014
Current Class: Staff Services Manager I

24. Position Number: 810-291-4800-001 MARGINAL
Current Class: Staff Services Manager I

25. Position Number: 810-280-4800-001
Current Class: Staff Services Manager I

26. Position Number: 810-210-4800-001
Current Class: Staff Services Manager I

Unable to Determine

The following sixteen (16) positions could not be classified due to insufficient documentation of the position's work. DTSC should follow the directions shown for each of the positions and within 30 calendar days from this memorandum, submit the requested documentation so that DPA can determine if the position is properly allocated.

3. Position Number: 810-250-1384-001
Current Class: Data Processing Manager II
Analysis:

Issue #1: The only documentation that DTSC provided to DPA at the time of the review was an unsigned organizational chart.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo and duty statement as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

4. Position Number: 810-920-4247-001
Current Class: Health Program Auditor Manager I
Analysis:

Issue #1: The only documentation that DTSC provided to DPA at the time of the review was an unsigned organizational chart.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo and duty statement as outlined in Section 320 of the C&P Guide.

At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

9. Position Number: 810-820-4549-001
Current Class: Accounting Administrator I (Sup)
Analysis:

Issue #1: The only documentation that DTSC provided to DPA at the time of the review was an RPA cover sheet.

Action(s) Needed: DTSC should locate the allocation package which includes a duty statement and signed organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

23. Position Number: 810-840-4800-003
Current Class: Staff Services Manager I
Analysis:

Issue #1: The only documentation that DTSC provided to DPA at the time of the review was an RPA cover sheet.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current organizational chart to DPA to determine if the position's allocation is appropriate.

27. Position Number: 810-800-4800-004
Current Class: Staff Services Manager I
Analysis:

Issue #1: No documentation was provided to DPA at the time of the review.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

28. Position Number: 810-260-4800-016
Current Class: Staff Services Manager I
Analysis:

Issue #1: The only documentation that DTSC provided to DPA at the time of the review was an RPA cover sheet.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of

the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

29. Position Number: 810-210-4800-901
Current Class: Staff Services Manager I
Analysis:

Issue #1: There were two RPA packages provided to DPA for review. The first package, dated 11/18/2008, includes a duty statement and organizational chart but no justification. The second package, dated 9/14/2009, does not include a duty statement, justification, organizational chart.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

33. Position Number: 810-700-4801-001
Current Class: Staff Services Manager II
Analysis:

Issue #1: The documentation provided for review was confusing. There are two RPA cover sheets, one showing a reclassification (effective date of 1/19/2010) from an Staff Services Manager I to a Staff Services Manager II, which matches up with the position number. The other RPA cover sheet shows a reclassification (effective date of 11/1/2009) from a Staff Services Manager I to a Staff Services Manager III. A job bulletin in the package is for a Staff Services Manager III and a total of three separate duty statements were included.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

34. Position Number: 810-820-4802-002
Current Class: Staff Services Manager III
Analysis:

Issue #1: At the time of review, only an unsigned organizational chart was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

50. Position Number: 810-520-3833-011
Current Class: Division Chief, DTSC, CEA
Analysis:

Issue #1: The only documentation that DTSC provided to DPA at the time of the review was the RPA and the organizational chart.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, the duty statement, and a current organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

51. Position Number: 810-521-3833-001
Current Class: Division Chief, DTSC, CEA
Analysis:

Issue #1: The only documentation that DTSC provided to DPA at the time of the review was a duty statement.

Action(s) Needed: DTSC should locate the allocation package which includes an RPA package, justification memo, and an organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide the RPA package and organizational chart to DPA to determine if the position's allocation is appropriate.

55. Position Number: 810-280-7500-030
Current Class: CEA
Analysis:

Issue #1: No information was provided for this CEA at the time of the review, so DPA was unable to make an allocation determination. DPA believes that this CEA exists per our roster information.

Action(s) Needed: DTSC should locate the CEA Board Item establishing this CEA. In addition, DTSC should provide DPA with the RPA package which includes a justification memo, the duty statement, and a current organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide the CEA Board Item, a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

56. Position Number: 810-250-7500-016

Current Class: CEA

Analysis:

Issue #1: No information was provided for this CEA at the time of the review, so DPA was unable to make an allocation determination. DPA believes that this CEA exists per our roster information.

Action(s) Needed: DTSC should locate the CEA Board Item establishing this CEA. In addition, DTSC should provide DPA with the RPA package which includes a justification memo, the duty statement, and a current organizational chart as outlined in Section 320 of the C&P Guide. At a minimum, DTSC should provide the CEA Board Item, a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

57. Position Number: 810-820-7500-018

Current Class: CEA 1, Chief Financial Operations and Administration

Analysis:

Issue #1: Not enough information was provided for this CEA at the time of the review, so DPA was unable to make an allocation determination.

Issue #2: From the title of this CEA it leads DPA to believe there may be an overlap of duties between it and the CEA 3, Administrative Services Division.

Action(s) Needed: DTSC should locate the CEA Board Item establishing this CEA. In addition, DTSC should provide DPA with the most current RPA package which includes a justification memo, the duty statement, and a current organizational chart as outlined in Section 320 of the C&P Guide.

At a minimum, DTSC should provide the CEA Board Item and the current status of this CEA indicating its current use if any. This should include the current duty statement and organizational chart so DPA can determine if the position's allocation is appropriate.

58. Position Number: 810-200-7500-002

Current Class: CEA 3

Analysis:

Issue #1: Not enough information was provided for this CEA at the time of the review, so DPA was unable to make an allocation determination.

Issue #2: This CEA 3 appears to be filled with a retired annuitant performing Workforce and Succession Planning and moving from one reporting unit to another. It is inappropriate to have a retired annuitant performing the duties as a CEA.

Action(s) Needed: DTSC should locate the CEA Board Item establishing this CEA and provide DPA with an updated CEA package outlining the change in duties and responsibilities from the original CEA. This should include a justification memo, duty statement, and a current organizational chart as outlined in Section 320 of the C&P Guide.

59. Position Number: 810-700-7500-021

Current Class: CEA 1

Analysis:

Issue #1: Not enough information was provided for this CEA at the time of the review, so DPA was unable to make an allocation determination.

Issue #2: This CEA 1 appears on the July 2011 organizational charts to be an Exempt position (class code 3136). This Exempt class still exists but is showing vacant on the Exempt Database.

Action(s) Needed: DTSC should notify DPA of the current status of this position indicating if it is a CEA or an Exempt position. DTSC should then provide DPA with the current package substantiating the position. This should include a justification memo, duty statement, and a current organizational chart as outlined in Section 320 of the C&P Guide.

Misallocated

DPA's review found the following twenty-three positions to be misallocated. Unless disputed in the departmental response period (30 days from the date of this memorandum), DTSC is required to submit CAPs for each of these positions within 60 days from the date of this report. Section 360 of the C&P Guide provides details on the process and available options for correction.

5. Position Number: 810-820-4542-002

Current Class: Accounting Administrator II

Analysis:

Issue #1: At the time of appointment, the RPA package contained a "proposed" organizational chart showing the incumbent over three units (Cost Recovery, Cash/Receipts, and Receivables) with one subordinate Staff Services Manager I with 12 professional staff. However, the current organizational chart shows the incumbent over one unit with insufficient subordinate staff. According to the classification specification, an Accounting Administrator II "either: (1) performs as the Chief Accounting Officer in a medium-complex or large-standard accounting office; or (2) performs as a multisection supervisor in a large-complex accounting office; or (3) performs as a sectional manager in a very large-complex accounting office. DTSC's accounting office is not a medium-

complex or large standard and therefore does not support the Accounting Administrator II level in this capacity.

Action(s) Needed: Corrective Action Plan required.

6. Position Number: 810-820-4542-003
Current Class: Accounting Administrator II
Analysis:

Issue #1: Per the organizational chart provided, this position only has three professional staff reporting to it, which does not support the allocation. An Accounting Administrator II should "either: (1) perform as the Chief Accounting Officer in a medium-complex or large-standard accounting office; or (2) perform as a multisection supervisor in a large-complex accounting office; or (3) perform as a sectional manager in a very large-complex accounting office.

Action(s) Needed: Corrective Action Plan required.

7. Position Number: 810-820-4545-001
Current Class: Accounting Administrator III
Analysis:

Issue #1: Per the classification specification, positions at the Accounting Administrator III's level have charge of a large and complex accounting function which requires subordinate supervisors at the Accounting Administrator II level or direct an accounting program involving the development and administration of statewide accounting plans, policies, procedures, and standards. This level either: (1) performs as the Chief Accounting Officer in a large-complex or very large-standard accounting office; or (2) performs as a multisection manager in a very large-complex accounting office. DTSC's entire accounting division consists of one Accounting Administrator II (identified as misallocated in this report) and two Accounting Administrator Is (1 identified as correctly allocated and 1 identified as UTD) and 20 professional staff. Currently, this position is not supported with only one properly allocated direct report.

Action(s) Needed: Corrective Action Plan required.

16. Position Number: 810-704-4800-001
Current Class: Staff Services Manager I
Analysis:

Issue #1: A Staff Services Manager I allocation is properly supported with 3-5 professional subordinate staff. This position supervises two Public Participation Specialists and does not have sufficient subordinate staff to support the allocation.

Issue #2: DTSC has a department-specific class series consisting of: Public Participation Specialist, Public Participation Supervisor, and Chief, Public Participation

Program. It is unclear why the Public Participation and Community Relationship Unit would utilize the Staff Services Manager II and Staff Services Manager I classes to supervise Public Participation Specialist. DPA would recommend that the department utilize the classes and reporting relationships developed specifically to do this work.

Action(s) Needed: Corrective Action Plan required.

17. Position Number: 810-230-4800-002

Current Class: Staff Services Manager I

Analysis:

Issue #1: A Staff Services Manager I allocation is properly supported with 3-5 professional subordinate staff. This position appears to only have two direct professional staff and does not support the allocation.

Action(s) Needed: Corrective Action Plan required.

19. Position Number: 810-210-4800-015

Current Class: Staff Services Manager I

Analysis:

Issue #1: This appears to be a reclassification of a Staff Services Manager III to a Staff Services Manager I, to take over a new Management Initiatives Unit. The organizational charts included in the RPA package shows this position without any subordinate staff. However, the proposed duty statement in the package allots 15% of the time to "supervise staff to manage the quantity, quality, and timeliness of staff's work deliverables..." A review of the August 2011 organizational chart shows this position appears to now have two direct professional staff, but to be properly supported, a Staff Services Manager I allocation requires 3-5 professional subordinate staff.

Issue #2: The duties listed on the proposed duty statement are marginally analytical and do not rise to the Staff Services Manager I level. Examples include: "Identify, develop, refine, and summarize the collection of data; develop priorities for tracking data; develop and implement analysis tools to measure and analyze results; do outreach to programs and training to Administrative Services' staff."

Issue #3: The duty statement shows 10% of the time doing outreach to DTSC programs and training to Administrative Services' staff to assist in their performance management efforts, however the organizational chart shows an entire Training Unit within Administrative Services with a Staff Services Manager I, three Associate Governmental Program Analysts, a Staff Services Analyst, and a Training Officer I. Clarification is needed as to what training the Administrative Performance Management Unit does separate from the Training Unit.

Action(s) Needed: Corrective Action Plan required. The department should assemble and confirm the position's work responsibilities and document them in a new duty statement. This statement should be presented to DPA along with a current organization chart, reflecting the proper number of subordinate staff, and a justification memo explaining the department's reasons for its SSM I allocation.

20. Position Number: 810-703-4800-002

Current Class: Staff Services Manager I

Analysis:

Issue #1: This is a reclassification of a Public Participation Supervisor position to a Staff Services Manager I. The position will remain supervising Public Participation Specialists so it is unclear why DTSC reclassified this position, along with three others, to a Staff Services Manager I.

Issue #2: DPA requested to review position # 810-703-4800-002. The position number matches on the RPA cover sheet. However, there were three different organizational chart provided in the RPA package, a current and two proposed. The position # 810-703-4800-002, is not found on the first proposed organizational chart or on the second chart. The incumbent listed on the RPA package is shown on the second organizational chart as a Staff Services Manager I, with position # 810-753-4800-001. The organizational chart shows six subordinate Public Participation Specialists reporting to the position. A review of the August 2011 organizational charts show the incumbent in a Staff Services Manager I position listed as position # 810-703-5372-002. 5372 is not the correct class code for Staff Services Manager I. The position # originally requested, 810-703-4800-002 is shown in a separate unit with a different incumbent. It appears DTSC's current organizational chart for the Office of External Affairs is inaccurate in multiple areas.

Issue #3: The current, August 2011, organizational chart shows this position reporting to an Exempt position, Communications Chief. The position shows a subordinate staff consisting of four Office Technicians, one Associate Governmental Program Analyst, and an Executive Assistant. To be properly supported, a Staff Services Manager I allocation requires 3-5 professional subordinate staff. The four Office Technicians do not constitute professional subordinate staff. The subordinate Executive Assistant reporting to the Staff Services Manager is inappropriate. Per the Executive Assistant classification specification, "Positions may be allocated to the Executive Assistant only when the administrator to whom the position reports is (1) at least CEA II/ Exempt Level K/Principal level and at or above the second organizational level, or (2) at least CEA III/Exempt Level H and at or above the third organizational level." This leaves only one professional level subordinate staff (Associate Governmental Program Analyst) under the Staff Services Manager I which does not support the allocation.

Action(s) Needed: Corrective Action Plan required. The Staff Services Manager I position is not supported. Additionally, DTSC should correct the current organizational

chart for the Office of External Affairs, ensuring all position numbers and incumbents are correctly listed.

30. Position Number: 810-520-4801-001

Current Class: Staff Services Manager II (Supervisor)

Analysis:

Issue #1: A Staff Services Manager II allocation is properly supported with 6-10 professional subordinate staff. The organizational chart provided in the RPA package shows a total of five subordinate staff, all at the professional level. This does not support the allocation. A review of the August 2011 organizational charts shows the same staffing level which is insufficient to support the allocation.

Action(s) Needed: Corrective Action Plan required.

31. Position Number: 810-260-4801-001

Current Class: Staff Services Manager II (Supervisor)

Analysis:

Issue #1: This was a promotion in place for a Staff Services Manager I to a Staff Services Manager II. A Staff Services Manager II allocation is properly supported with 6-10 professional subordinate staff. The two organizational chart provided in the RPA package were identical other than reflecting the upgrade to the position to the Manager II level and show a total of nine subordinate staff, only four at the professional level. This does not support the upgraded allocation. The exact number of subordinate staff is unclear upon a review of the August 2011 organizational charts. It appears to show ten subordinate staff, with only three at the professional level. This does not support the allocation.

Action(s) Needed: Corrective Action Plan required.

32. Position Number: 810-522-4801-021

Current Class: Staff Services Manager II (Supervisor)

Analysis:

Issue #1: The RPA package provided for review consisted of only an organizational chart and duty statement. The organizational chart reflects this position has having the minimum of six professional subordinate staff.

Issue #2: According to the classification specification for Staff Services Manager II, "positions may be characterized by the following allocation criteria: (a) In a moderate to large size department, directs a fully developed Staff Services function characterized by the supervision of a moderate to large number of subordinate technical staff. (b) May supervise a small technical staff in a small-to medium-sized department in a specialized operation when one of the following criteria are met: (1) There is responsibility for a

complex operation with multiple department influence. (2) There is responsibility for a complex operation central to a department's primary mission. (c) Supervises a large group of technical staff in a well-defined and established departmental function, typically through subordinate supervisors." DPA notes that this position does not appear to meet any of these criteria. Additionally, DPA notes that in this unit, Brownfields and Environmental Restoration Program, Grants and Program Support, there is another Staff Services Manager II (identified as misallocated in this report), further weakening this position's allocation.

Action(s) Needed: Corrective Action Plan required.

35. Position Number: 810-854-4802-001

Current Class: Staff Services Manager III

Analysis:

Issue #1: This position oversees the Regional Administrative Services for DTSC. Based on the August 2011 organizational charts, this position is not fully supported. According to the class specification, positions at the Staff Services Manager III level have full management and supervisory responsibility in charge of a major Staff Services function, or functions, when it is so unusually large and complex as to require subordinate supervisors at the Senior level on a subfunctional or geographical basis. In those cases where the supervisory and management responsibility is minimum, it must be balanced out by responsibility for a function with a multidepartmental or statewide impact requiring skills and knowledge at the highest level with responsibility for work of the most critical or sensitive nature as relates to a department's primary mission. Positions at this level are characterized by the following criteria: (a) Supervises a fully developed Staff Services function in a large department characterized by multiple intermediate supervisors at the Staff Services Manager II level and a large technical staff. (b) Functions as a full supervisor with responsibility for a moderate to large size technical staff in a highly specialized and complex operation when one of the following criteria are met: (1) Responsibility for a highly complex Staff Services function with multidepartmental or servicewide impact. (2) Responsibility for the major portion of a Staff Services function of the largest State departments, supervising a large staff, through subordinate supervisors. (c) In an agency setting, provides a high degree of expertise in developing major new programs of agency or servicewide scope. (d) Provides a high level of assistance and expertise to an exempt director, executive officer, or Board member of a large, highly complex and sensitive department, in reaching organization goals, including responsibility for policy and program evaluation and recommendations often coupled with legislative liaison. (e) Has full responsibility for a variety of Staff Services functions in a medium size department as Chief of Administrative Services, administering the functions through intermediate function supervisors. The position does not meet any of these criteria.

Action(s) Needed: Corrective Action Plan required.

36. Position Number: 810-820-5303-011

Current Class: Staff Administrative Analyst (Accounting Systems)

Analysis:

Issue #1: The organizational chart in the package showed a total of five professional staff reporting to this position. At five, the number of professional subordinate staff properly support the allocation. The classification is equal in salary to a Staff Services Manager I and should have a minimum of 3-5 professional subordinate staff. A review of the August 2011 organizational chart show this position in the Budgets/Financial Planning Division with only two professional subordinate staff. The staffing does not support the classification therefore this position is misallocated.

Action(s) Needed: Corrective Action Plan required.

37. Position Number: 810-700-5595-001

Current Class: Information Officer II

Analysis:

Issue #1: According to the classification specification for the Information Officer II, "[a]n Information Officer II is delegated full responsibility for all aspects of information activities in an agency that meets one or more of these criteria; its program either directly affects a large and heterogeneous public, or it affects a public with strong personal interest in its administration; it usually has economic, political, or social implications of considerable impact; it often elicits continuous interest and critical review by political bodies or interest groups; administration of its program is often subject to questions, misconceptions, and conflicting views. An Information Officer II reports directly to top management who rely upon the incumbent for advice on good public relations consistent with overall goals...." According to the organizational chart provided in the package for review, this Information Officer II position is one of two positions both housed in the Office of External Affairs. The position has just one subordinate, an Information Officer I (Specialist). A review of the new August 2011 organizational chart shows this position as one of two Information Officer IIs in External Affairs, reporting to the Assistant Deputy Director, who reports to the Deputy Director of External Affairs. It is unclear why two Information Officer IIs are needed in the same division when they are supposed to have full responsibility for all aspects of information activities in an agency.

Action(s) Needed: Corrective Action Plan required.

38. Position Number: 810-340-5595-003

Current Class: Information Officer II

Analysis:

Issue #1: According to the classification specification for the Information Officer II, "[a]n Information Officer II is delegated full responsibility for all aspects of information

activities in an agency that meets one or more of these criteria; its program either directly affects a large and heterogeneous public, or it affects a public with strong personal interest in its administration; it usually has economic, political, or social implications of considerable impact; it often elicits continuous interest and critical review by political bodies or interest groups; administration of its program is often subject to question, misconceptions, and conflicting views. An Information Officer II reports directly to top management who rely upon the incumbent for advice on good public relations consistent with overall goals....” Again, it is unclear why DTSC would need a third Information Officer II position within the department. Additionally, the position is shown with only one subordinate staff.

Action(s) Needed: Corrective Action Plan required.

39. Position Number: 810-700-5595-002
 Current Class: Information Officer II
 Analysis:

Issue #1: According to the classification specification for the Information Officer II, “[a]n Information Officer II is delegated full responsibility for all aspects of information activities in an agency that meets one or more of these criteria; its program either directly affects a large and heterogeneous public, or it affects a public with strong personal interest in its administration; it usually has economic, political, or social implications of considerable impact; it often elicits continuous interest and critical review by political bodies or interest groups; administration of its program is often subject to question, misconceptions, and conflicting views. An Information Officer II reports directly to top management who rely upon the incumbent for advice on good public relations consistent with overall goals....” According to the organizational chart provided in the package for review, this Information Officer II position is one of two positions both housed in the Office of External Affairs. The position does not have any subordinate staff and reports to a Communications Chief, who reports to an Assistant Deputy Director, who reports to a Deputy Director. A review of the new August 2011 organizational chart shows the same structure, without any subordinate staff. It is unclear why two Information Officer IIs are needed in the same division when they are supposed to have full responsibility for all aspects of information activities in an agency.

Action(s) Needed: Corrective Action Plan required.

47. Position Number: 810-820-4802-001
 Current Class: Staff Services Manager III (Compelling Management Need)
 Analysis:

Issue #1: This position was originally reviewed during the first phase review and was cited as a marginal allocation. Upon further review and with the updated August 2011 organizational charts, DPA has decided that based on the following criteria, this position is misallocated. According to the class specification, positions at the Staff Services

Manager III level have full management and supervisory responsibility in charge of a major Staff Services function, or functions, when it is so unusually large and complex as to require subordinate supervisors at the Senior level on a subfunctional or geographical basis. In those cases where the supervisory and management responsibility is minimum, it must be balanced out by responsibility for a function with a multidepartmental or statewide impact requiring skills and knowledge at the highest level with responsibility for work of the most critical or sensitive nature as relates to a department's primary mission. Positions at this level are characterized by the following criteria: (a) Supervises a fully developed Staff Services function in a large department characterized by multiple intermediate supervisors at the Staff Services Manager II level and a large technical staff. (b) Functions as a full supervisor with responsibility for a moderate to large size technical staff in a highly specialized and complex operation when one of the following criteria are met: (1) Responsibility for a highly complex Staff Services function with multidepartmental or servicewide impact. (2) Responsibility for the major portion of a Staff Services function of the largest State departments, supervising a large staff, through subordinate supervisors. (c) In an agency setting, provides a high degree of expertise in developing major new programs of agency or servicewide scope. (d) Provides a high level of assistance and expertise to an exempt director, executive officer, or Board member of a large, highly complex and sensitive department, in reaching organization goals, including responsibility for policy and program evaluation and recommendations often coupled with legislative liaison. (e) Has full responsibility for a variety of Staff Services functions in a medium size department as Chief of Administrative Services, administering the functions through intermediate function supervisors. The position does not meet any of these criteria.

Action(s) Needed: Corrective Action Plan required.

48. Position Number: 810-260-4802-001

Current Class: Staff Services Manager III

Analysis:

Issue #1: This position was originally reviewed during the first phase review and was cited as a marginal allocation. Upon further review and with the updated August 2011 organizational charts, DPA has decided that based on the following criteria, this position is misallocated. According to the class specification, positions at the Staff Services Manager III level have full management and supervisory responsibility in charge of a major Staff Services function, or functions, when it is so unusually large and complex as to require subordinate supervisors at the Senior level on a subfunctional or geographical basis. In those cases where the supervisory and management responsibility is minimum, it must be balanced out by responsibility for a function with a multidepartmental or statewide impact requiring skills and knowledge at the highest level with responsibility for work of the most critical or sensitive nature as relates to a department's primary mission. Positions at this level are characterized by the following criteria: (a) Supervises a fully developed Staff Services function in a large department characterized by multiple intermediate supervisors at the Staff Services Manager II level and a large technical staff. (b) Functions as a full supervisor with responsibility for a

moderate to large size technical staff in a highly specialized and complex operation when one of the following criteria are met: (1) Responsibility for a highly complex Staff Services function with multidepartmental or servicewide impact. (2) Responsibility for the major portion of a Staff Services function of the largest State departments, supervising a large staff, through subordinate supervisors. (c) In an agency setting, provides a high degree of expertise in developing major new programs of agency or servicewide scope. (d) Provides a high level of assistance and expertise to an exempt director, executive officer, or Board member of a large, highly complex and sensitive department, in reaching organization goals, including responsibility for policy and program evaluation and recommendations often coupled with legislative liaison. (e) Has full responsibility for a variety of Staff Services functions in a medium size department as Chief of Administrative Services, administering the functions through intermediate function supervisors. The position does not meet any of these criteria.

Action(s) Needed: Corrective Action Plan required.

49. Position Number: 810-260-4801-002
Current Class: Staff Services Manager II
Analysis:

Issue #1: This position was originally reviewed during the first phase review and was cited as a marginal allocation. Upon further review and with the updated August 2011 organizational charts, DPA has decided that based on the following criteria, this position is misallocated. According to the class specification, this is the fill supervisory level over analytical and administrative work. In most settings, persons at this level are in charge of a well-established and fully developed Staff Services function in a moderate to large department. Positions at this level normally supervise a moderate to large number of technical staff and spend the majority of their time in supervisory activities as distinct from working level assignments. Positions at the Staff Services Manager II level may be characterized by the following allocation criteria: (a) In a moderate to large size department, directs a fully developed Staff Services function characterized by the supervision of a moderate to large number of subordinate technical staff. (b) May supervise a small technical staff in a small to medium sized department in a specialized operation when one of the following criteria are met: (1) There is responsibility for a complex operation with multiple department influence. (2) There is responsibility for a complex operation that is central to a department's primary mission. (c) Supervises a large group of technical staff in a well-defined and established departmental function, typically through subordinate supervisors. The position does not meet any of these criteria.

Action(s) Needed: Corrective Action Plan required.

52. Position Number: 810-904-3833-001
Current Class: Division Chief, DTSC, CEA
Analysis:

Issue #1: DTSC was to convert the Division Chief, CEA to the 7500 CEA. Although the 7500 CEA was established as the Chief, Enforcement and Emergency Response, (this CEA has since been reclassified to an exempt position) the Division Chief, CEA was continued and placed under the Chief and titled Assistant, Deputy Director. This is an inappropriate use of the Division Chief, CEA classification as it should not be reporting directly to the 7500 CEA.

Action(s) Needed: Corrective Action Plan required.

53. Position Number: 810-340-3833-003
Current Class: Division Chief, DTSC, CEA
Analysis:

Issue #1: The position is misallocated as it reports to the Deputy Director, CEA 2. The Division Chief, CEA was not present when the State Personnel Board and DPA approved the 7500 CEA in March 2010. This is an inappropriate use of the Division Chief, CEA classification as it should not be reporting directly to the 7500 CEA.

Action(s) Needed: Corrective Action Plan required.

54. Position Number: 810-230-3833-001
Current Class: Division Chief, DTSC, CEA
Analysis:

Issue #1: The position was reclassified from an exempt to the Division Chief, CEA classification and is being used as the Legislative and Policy Director. This is an inappropriate use of the Division Chief, CEA classification as the specification is specific that it should be used only in Hazardous Waste Management, Site Mitigation and External Affairs Programs.

Action(s) Needed: Corrective Action Plan required.

60. Position Number: 810-800-7500-003
Current Class: CEA 1
Analysis:

The original CEA was established as the Assistant Director, Office of Environmental Analysis, Regulations & Audits, Cost Recovery & Reimbursement. It appears now that this CEA is functioning as the "efficiency expert" and is filled with a retired annuitant.

Issue #1: DTCS did not provide DPA with the new CEA package showing the significant changes to this CEA.

Issue #2: It is inappropriate to have a retired annuitant performing the duties of a CEA.

Issue #3: This CEA 1 is being compensated at the CEA 3 level (\$9,214). Approval for this salary exception was not given by DPA. (See PML 2008-012).

Action(s) Needed: DTSC needs to provide documentation supporting the CEA as the "efficiency expert" or provide DPA with a corrective action plan.

63. Position Number: 810-340-7500-019

Current Class: CEA 3

Analysis:

The original CEA was established as the Assistant Director, Office of External Affairs. It appears now that this CEA is functioning as the Chief Scientist and is filled with a retired annuitant.

Issue #1: This change to the CEA was processed in 2010 but DTCS did not provide DPA with the new CEA package showing the significant changes to the CEA.

It is inappropriate to have a retired annuitant performing the duties of a CEA.

Issue #3: This CEA is being compensated in the restricted zone of the CEA band at \$11,398. (maximum salary for a CEA 3 is \$9,476). Approval for this salary exception was not given by DPA. (See PML 2008-012).

Action(s) Needed: DTSC needs to provide documentation supporting the CEA as the Chief Scientist or provide DPA with a corrective action plan.

Appropriately Allocated CEA Position – Misappropriate Salary

DPA found the following salary issues with two (2) CEAs:

61. Position Number: 810-340-7500-001

Current Class: CEA 2

Analysis:

This position is properly allocated but is set over the salary level without approval.

Issue #1: The salary set upon appointment was over the range of the CEA 2 – maximum salary is \$8,616. Approval for this salary exception was not given by DPA. (See PML 2008-012).

Actions(s) Needed: DTSC must justify the salary exception in writing to DPA.

62. Position Number: 810-800-7500-001
Current Class: CEA 3
Analysis:

This position is properly allocated but is set over the salary level without DPA approval.

Issue #1: The incumbent was appointed on February 1, 2010 to the CEA 2 at the maximum salary of \$8,616 without DPA approval for a salary exception. (See PML 2008-012).

Issue #2: The incumbent was given a salary increase on June 14, 2010 to the CEA 3 at the maximum salary of \$9,476 without DPA approval for a salary exception or an exception to increase the salary within one year. (See PML 2008-012).

Actions(s) Needed: DTSC must justify the salary exception in writing to DPA.

**Department of Toxic Substances Control HR Quality Review
Addendum – First Phase Review
July 26, 2011**

On February 15, 2011, DPA mailed DTSC their Human Resources Quality Review (HRQR) – First Phase Findings Report, addressed to Kim Poh, Manager, Human Resources Office. The report was received by DTSC on February 24, 2011. The report summarized DPA's findings from the 34 position allocation review and established the following expectations and requirements for DTSC:

- DTSC was asked to submit requested missing documentation to DPA for all positions identified as "Unable to Determine" (UTD) within two weeks from the release of the First Phase Findings Report, due by March 1, 2011. DPA requested this documentation so that all UTD positions could be properly reviewed for correct allocation and DTSC's error rate adjusted accordingly.
- DTSC was given a 30 day period of time in which they could dispute any identified misallocations from the report, due by March 16, 2011.
- If not disputed, all identified misallocated positions required a Corrective Action Plan (CAP) to be submitted to DPA for approval, due by April 15, 2011.

On February 28, 2011, DTSC requested extensions to the three due dates and DPA approved the extensions as requested.

On March 14, 2011, DTSC sent in their response to the 13 UTD positions as identified in the First Phase Findings Report. Of the 13 UTD positions identified, DTSC submitted documentation in support of all 13 positions.

After the HRQR Team reviewed all submitted documentation, DTSC lowered their overall error rate from a 56% (18% UTD and 38% misallocated) to a 24% by resolving 11 of the 13 UTD positions. DTSC submitted adequate information to resolve a total of 11 positions and the remaining two positions were found to be misallocated. The following is a summary of DPA's findings identified during the review, incorporating DTSC's responses to all UTD positions:

Description	First Phase Findings	After DTSC's Response Time
Total number of positions reviewed	34	34
Correctly Allocated	15	26
UTD	13	0
Misallocated	6	8

A position by position break-down of the UTD positions and DPA's findings can be found in Attachment A.

In their March 14, 2011 response, DTSC did not dispute any of the six identified misallocations from the First Phase Findings Report. CAPs for these six positions were required by April 29, 2011, as per the granted extension.

On June 28, 2011, DPA received CAPs for all six of the identified misallocated positions. DPA reviewed the plans and rejected all six. These positions are now outstanding misallocations and it is critical that DTSC take appropriate corrective action. If these misallocations, including the two new misallocations identified in this addendum, are not appropriately corrected, they will be counted as misallocations in your Final Report. All misallocations in the Final Report are counted toward a department's error rating. Departments who earn error ratings exceeding 10% may have delegation pulled and be placed on a random review period of a minimum of six months extending past the issuance of the Final Report.

UTD

Positions identified as UTD during the initial review process are defined as those positions DPA was unable to determine an appropriate classification because the department failed to provide a clear and complete Request for Personnel Action (RPA) package. Departments are reminded that under delegated authority and pursuant to PML 2007-026, they have the responsibility to keep proper documentation of all delegated decisions according to the requirements outlined in the Classification and Pay Guide (C&P Guide).

As stated in the C&P Guide, departments must maintain copies of the duty statement, organizational chart, and justification memo in an orderly and systematic manner. Also, departments are to keep these packets on file for program review in accordance with the department's record retention schedule, but for no less than four years. During the department's two week response time following the release of their First Phase Findings Report, they were given the opportunity to produce the missing documentation for their UTD positions for DPA's review. Upon correct allocation determination, the error rating was adjusted accordingly.

Of the 13 UTD positions DPA reviewed, 11 were determined to be resolved and 2 were identified as misallocated. The positions reviewed are as follows:

Correctly Allocated Positions

- 16.** Position Number: 810-853-4800-001
Current Class: Staff Services Manager I (Specialist)
- 17.** Position Number: 810-900-5157-701
Current Class: Staff Services Analyst
- 18.** Position Number: 810-900-5393-700
Current Class: Associate Governmental Program Analyst
- 19.** Position Number: 810-531-5157-741
Current Class: Staff Services Analyst
- 20.** Position Number: 810-911-3567-001
Current Class: Supervising Hazardous Substances Scientist II
- 21.** Position Number: 810-357-5393-702
Current Class: Associate Governmental Program Analyst
- 22.** Position Number: 810-800-4801-001
Current Class: Staff Services Manager II
- 23.** Position Number: 810920-5157-747

Current Class: Staff Services Analyst

24. Position Number: 810-988-5278-001
Current Class: Management Services Technician

27. Position Number: 810-920-3565-001
Current Class: Senior Hazardous Substances Scientist

28. Position Number: 810-260-5142-702
Current Class: Associate Personnel Analyst

Misallocated Positions

25. Position Number: 810-854-4801-014
Current Class: Staff Services Manager II
DPA Analysis:
Issue#1:
Corrective Action(s) Needed: Corrective Action Plan required.

26. Position Number: 810-252-1373-001
Current Class: System Software Specialist II Technician
DPA Analysis:
Issue#1:
Corrective Action(s) Needed: Corrective Action Plan required.

The two misallocated positions now require a CAP to be submitted to DPA within 30 calendar days from the date of this addendum.



MEMORANDUM



DATE: February 15, 2011

TO: Kim Poh, Manager
Department of Toxic Substances Control
Human Resources Office
1001 I Street, 21st Floor
Sacramento, CA 95812-0806

FROM: **Debbie Baldwin**
Personnel Program Advisor
Classification and Compensation Division
(916) 323-8495; FAX (916) 327-1886
Email: debbiebaldwin@dpa.ca.gov

SUBJECT: Human Resources Quality Review First Phase Findings

This memorandum outlines the Department of Personnel Administration's (DPA) Human Resources Quality Review (HRQR) first phase findings of the Department of Toxic Substances Control (DTSC). The report involves the positions identified and reviewed on November 30 and December 1, 2010, at your department.

Our review of your delegation was intended to assess both the adequacy of the review process utilized within your department and the quality of position allocations made by the appointing authority using the delegated standards. Using organizational charts provided by DTSC's Human Resources Office, DPA staff requested to review allocation packages for 33 positions. The allocation packages represent new, refill, or upgrade allocation decisions which were made by your Human Resources Office. Further follow-up by your department is required to correct or substantiate a position's allocation if the positions reviewed were found to be misallocated or if the documentation was inadequate and did not allow for us to determine the correct allocation.

Findings

Total number of positions identified for review	33
Total number of positions reviewed	34
Positions correctly allocated	15 (44% of sample)
Positions unable to classify due to lack of or inadequate documentation	13 (38% of sample)
Positions found to be misallocated	6 (18% of sample)*

*During the course of the review, the HRQR Team identified an additional position that appears to be misallocated. This position has been added to the misallocation list to provide DTSC the opportunity to submit documentation for reconsideration.

A detailed list of the positions reviewed in the first phase can be found in Attachment A.

Summary of General Findings

- Justification memos were missing from numerous packages reviewed by the HRQR team.
- 44% of the 34 position allocation decisions were correct. DTSC's current error rate is at 56% (18% misallocated and 38% unable to determine). DPA considers an error rate of 10% or lower as acceptable, 10%-20% as marginal, and over 20% as unacceptable.
- Allocation packages reflect the department has 13 positions that were unable to be determined due to lack of documentation.
- For 7 out of 13 (54%) allocation packages requested, DTSC submitted empty files containing no supporting documentation for review. DPA recognizes that there has been recent turnover in DTSC's Human Resources Office resulting in new staff as well as changes to the old filing and retention procedures. The Human Resources Office acknowledges that flaws did exist in the previous system and is working to redesign and improve their processes and procedures in these areas.
- Organizational charts reveal 6 out of 34 (18%) of the position allocations have an insufficient number of subordinate staff for the position.
- The organizational charts and duty statements were not clearly identified as "current" and "proposed," when applicable.
- Duty statements and organizational charts should include authorization signatures and dates.

Conclusion

The current error rate of 56% (18% misallocated and 38% unable to determine) is considered unacceptable. However, DTSC can improve this rating by taking the following actions:

1. Submit the requested documentation for the 13 positions identified as "Unable to Determine" (UTD), to DPA within two weeks from the date of this memorandum. Each position reviewed has been assigned a number. Please use that number when responding. If DPA determines all 13 of these positions are properly allocated, DTSC's error rate will then be reduced to 15%. If DPA determines that only a portion of these positions have been properly allocated, the error rate will be adjusted accordingly. If the documentation for the UTD positions is not submitted within two weeks, the positions will be considered misallocated and will remain in DTSC's overall error rate.

2. Submit corrective action plans (CAPS) for the 6 positions identified as "Misallocated Positions" in Attachment A within 60 days from the date of this report. Refer to Section 360 of the C&P Guide for details on the CAP process and options for correction.
3. If applicable, provide a written response to dispute any contents of this report within 30 calendar days from the date of this memorandum. This information will be included in the DTSC's HRQR Final Summary Report.

DPA would like to express our thanks to all of the DTSC staff for your corporation in working with the HRQR Team.

As explained in the initial meeting with DTSC's staff, the review of personnel practices is intended to build a positive working relationship between DPA and departmental HR staff. It is also intended to demonstrate DPA's support to your staff, and show you that we are fully aware of the issues in departments and their struggles to work within the boundaries of the State's current classification plan.

Currently, DTSC is beginning their "6-Month Test Period" following the Classification and Pay training provided by DPA staff. At the conclusion of the 6-Month Test Period on May 31, 2011, an assessment of RPA packages processed during the test period will be included in the final or second phase report on DTSC's HRQR. It is after the second phase report that DTSC will be assigned a "status tag" corresponding with the error rate of the second phase report and any remaining misallocations from the first phase.

Questions and all responses regarding the first phase report should be directed to me.

Correctly Allocated Positions

The following positions comprise the fifteen positions which CCD found to be properly allocated. No corrective action is necessary for these positions.

Six positions are marked "Marginal". In this case, DTSC should bolster the position's duties immediately and further strengthen the position upon refill. Although the positions represent an acceptable allocation, the assigned duties and/or staffing levels meet minimum levels of acceptability to the assigned class and borders on becoming a misallocation if further weakened. Marginal allocations should not be used for comparative purposes.

1. Position Number: 810-963-3567-XXX
Current Class: Supervising Hazardous Substances Scientist II
2. Position Number: 810-210-4801-001
Current Class: Staff Services Manager II
3. Position Number: 810-820-5393-711
Current Class: Associate Governmental Program Analyst
4. Position Number: 920-988-3567-001
Current Class: Supervising Hazardous Substances Scientist II
5. Position Number: 810-988-1139-001
Current Class: Office Technician (Typing)
6. Position Number: 810-820-1741-010
Current Class: Accounting Technician
7. Position Number: 810-820-4800-015
Current Class: Staff Services Manager I (Managerial)
8. Position Number: 810-820-1741-003
Current Class: Accounting Technician
9. Position Number: 810-900-5393-740
Current Class: Associate Governmental Program Analyst
10. Position Number: 810-851-4800-013 *MARGINAL*
Current Class: Staff Services Manager I (Managerial)
11. Position Number: 810-852-4800-013 *MARGINAL*
Current Class: Staff Services Manager I (Managerial)
12. Position Number: 810-854-4800-001 *MARGINAL*
Current Class: Staff Services Manager I (Managerial)

13. Position Number: 810-260-4802-001 *MARGINAL*
Current Class: Staff Services Manager III

14. Position Number: 810-260-4801-002 *MARGINAL*
Current Class: Staff Services Manager II

15. Position Number: 810-900-4800-001 *MARGINAL*
Current Class: Staff Services Manager I (Managerial)

Unable to Determine

The following thirteen positions could not be classified as correctly allocated or misallocated due to insufficient documentation of the position's work. DTSC should follow the directions shown for each of the positions.

16. Position Number: 810-853-4800-001
Current Class: Staff Services Manager I
Analysis:

Issue #1: No documentation was provided to DPA at the time of the review.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

17. Position Number: 810-900-5157-701
Current Class: Staff Services Analyst
Analysis:

Issue #1: No documentation was provided to DPA at the time of the review.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

18. Position Number: 810-900-5393-700
Current Class: Associate Governmental Program Analyst
Analysis:

Issue #1: At the time of review, an unsigned and undated duty statement was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

19. Position Number: 810-531-5157-741
Current Class: Staff Services Analyst
Analysis:

Issue #1: At the time of review, only a current signed and dated duty statement was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current organizational chart to DPA to determine if the position's allocation is appropriate.

20. Position Number: 810-911-3567-001
Current Class: Supervising Hazardous Substances Scientist II
Analysis:

Issue #1: No documentation was provided to DPA at the time of the review.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

21. Position Number: 810-357-5793-702
Current Class: Associate Governmental Program Analyst
Analysis:

Issue #1: No documentation was provided to DPA at the time of the review.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

22. Position Number: 810-840-4801-002
Current Class: Staff Services Manager II
Analysis:

Issue #1: The allocation package contained inadequate documentation to support the allocation. Per the 06-09-98 organizational chart provided, the supervision over the "Contract Procurement" and "Business Services" is unidentified as is the distinction of responsibilities between the "Contracts and Office Services" unit, the "Contract Procurement" unit, and the "Business Services" unit.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

23. Position Number: 810-920-5157-747
Current Class: Staff Services Analyst
Analysis:

Issue #1: The allocation package contained inadequate documentation to support the allocation. The package did not contain the new, proposed duty statement for the upgrade from Staff Services Analyst to Associate Governmental Program Analyst.

Action(s) Needed: DTSC should locate the complete allocation package including the current and proposed duty statement, current and proposed organizational chart, and memorandum of justification as outlined in Section 320 of the Classification and Pay Guide (C&P Guide) and submit for allocation determination.

24. Position Number: 810-988-5278-001
Current Class: Management Services Technician
Analysis:

Issue #1: At the time of review, only a signed and dated duty statement was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

25. Position Number: 810-854-4801-014
Current Class: Staff Services Manager II
Analysis:

Issue #1: The allocation package contained inadequate documentation to support the position's allocation. At the time of review, only a signed and dated duty statement was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

26. Position Number: 810-252-1373-001

Current Class: System Software Specialist II Technician

Analysis:

Issue #1: At the time of review, only an incorrect organizational chart was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

27. Position Number: 810-920-3565-001

Current Class: Senior Hazardous Substances Scientist

Analysis:

Issue #1: At the time of review, only a 2007 organizational chart was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

28. Position Number: 810-260-5142-702

Current Class: Associate Personnel Analyst

Analysis:

Issue #1: At the time of review, only a 2004 signed and dated duty statement was provided.

Action(s) Needed: DTSC should locate the allocation package which includes a justification memo, duty statement and organizational chart as outlined in Section 320 of the Classification and Pay Guide (C&P Guide). At a minimum, DTSC should provide a current duty statement and organizational chart to DPA to determine if the position's allocation is appropriate.

Misallocated Positions

DPA's review found the following six positions to be misallocated. DTSC is required to submit Corrective Action Plans (CAP) for these positions within 60 days from the date of the 2nd Phase Report. Section 360 of the C&P Guide provides details on the process and available options for correction.

29. Position Number: 810-820-4802-001
Current Class: Staff Services Manager III
Analysis:

Issue #1: The SSM III sits directly on top of an SSM II without additional subordinate staff. Either the SSM III or the SSM II are supported, but not both with the number of subordinate staff.

Action(s) Needed: Corrective Action Plan required. The department should provide justification to support the need for the high number of supervisors versus the low number of supporting subordinate staff.

30. Position Number: 810-969-3566-001
Current Class: Supervising Hazardous Substances Scientist I
Analysis:

Issue #1: Per the organizational chart provided, this position only has four professional staff reporting to it. An HSS I should supervise five to nine professional staff.

Action(s) Needed: Corrective Action Plan required.

31. Position Number: 810-920-7576-002
Current Class: Supervising Criminal Investigator II
Analysis:

Issue #1: Position does not have sufficient subordinate staff to support the allocation. Per the classification specification, the Supervising Criminal Investigator IIs are at the full supervisory level and are responsible for directing the investigation program for a department, not for four or five subordinates within the division.

Action(s) Needed: Corrective Action Plan required.

32. Position Number: 810-925-7576-002
Current Class: Supervising Criminal Investigator II
Analysis:

Issue #1: Position does not have sufficient subordinate staff to support the allocation. Per the classification specification, the Supervising Criminal Investigator IIs are at the

full supervisory level and are responsible for directing the investigation program for a department, not for four or five subordinates within the division.

Action(s) Needed: Corrective Action Plan required.

33. Position Number: 810-820-5157-710

Current Class: Staff Services Analyst

Analysis:

Issue #1: Clerical versus analytical duties assigned. This position was upgraded from Management Services Technician to Staff Services Analyst. 65% of the duties listed for the SSA are identical to the original MST duty statement. The duties described in the SSA duty statement are processing/logging work. There are no duties described that indicate the need for critical thinking, analysis, or semi-professional writing skills.

Action(s) Needed: Corrective Action Plan required.

34. Position Number: 810-260-4801-001

Current Class: Staff Services Manager II (Supervisory)

Analysis:

Issue #1: A Staff Services Manager II allocation is properly supported with 6-12 professional subordinate staff. This position does not have sufficient subordinate staff, at the appropriate level, to support the allocation.

Action(s) Needed: Corrective Action Plan required.