



DESK AUDITS

Overview

The desk audit is the method used for obtaining information about a position. It involves interviews held by the Human Resources (HR) Specialist with the employee and the supervisor.

A position desk audit focuses solely on the current work assigned and does not address hypothetical or projected duties. Positions are classified based on major regular and recurring duties. Minor or temporary duties do not affect the position's classification. Additionally, volume of work is not grade controlling but rather a position management consideration. Finally, a classification determination should not address concerns regarding an individual employee's qualifications, promotion, or work performance.

Employees have a right to request a desk audit; however, employees are advised to discuss any classification concerns with their supervisor prior to requesting a desk audit.

A desk audit may be required (if a revised position description cannot otherwise be processed) when:

- a. There has been a substantive change in the assignment of work or the organization of work and it is expected to continue;
- b. A change is proposed to the title, series, or grade level of an encumbered position; or
- c. A new classification standard is being implemented.

Program Administration

a. Requesting a Desk Audit. Position classification determinations require a three-step process of fact finding, analysis of position data, and the documentation of findings. The primary and most complete source of position information is the position desk audit and subsequent supervisory review. A supervisor and/or employee may request a desk audit. However, the new or changed duties or responsibilities must be significant, must have been performed for a minimum of nine months, and must be expected to remain as regular duties for the foreseeable future.

- (1) **Supervisory Request for a Desk Audit.** To request a formal desk audit review, supervisors shall prepare, using their respective Division or Office internal procedures, a memorandum to HRSD, POB specifying how the position has changed. To the extent possible, the explanatory memorandum should cite examples of work assignments and the manner in which the position is supervised. The requesting memorandum shall be accompanied by an updated position description certified by management.
- (2) **Employee Request for a Desk Audit.** An individual employee may initiate a request for a desk audit. As with a supervisory request for a desk audit, the employee must prepare and submit a memorandum that explains how the position changed, cite examples of typical work assignments, and describe the manner in which the work is supervised. A revised description of duties and responsibilities should also accompany the request. Although the employee may submit the request directly to the HRSD, POB the preferred method is to send the request through the employee's first level supervisor and administrative office.

b. Processing a Desk Audit Request. Upon receipt of the desk audit request in the HRSD, POB, an HR Specialist shall be assigned to review the request and determine the appropriate course of action. Desk audit assignments shall be made based upon knowledge of the organization and occupation, as well as overall workload. The HR Specialist shall contact management and the appropriate administrative staff to acknowledge receipt of the desk audit request, obtain any additional information, and schedule the desk audit at a mutually convenient time.

c. Conducting the Desk Audit. The desk audit interview is usually conducted at the employee's work site. Generally, the HR Specialist shall also meet with the first level supervisor to verify the assignment of work and the nature of supervision. An audit summary of major duties and responsibilities may be developed and provided to the manager and employee for review and concurrence if it's determined that the revised position description accompanying the audit request does not accurately reflect work performed.

d. Issuing the Evaluation Report. A written evaluation report shall be issued to the Division and Office administrative staff who is responsible for informing both the supervisor and the employee of the desk audit findings. Before employees are notified of the desk audit findings, the first level supervisor and administrative staff should meet with the HR Specialist to discuss desk audit findings and options available to the supervisor. The evaluation report shall include a determination of the title, series, and grade level of the position. Any extenuating circumstances that prevent the HR Specialist from making a title, series, and/or grade level determination shall be discussed and resolved with the administrative contact before the evaluation report is issued. The HR Specialist shall also discuss the results with the supervisor and advise him or her on options available in acting on desk audit findings. Where a reclassification to a higher grade is supported, a decision as to whether or not the reclassified position shall be subject to competition shall also be indicated. Finally, where competition is not required, an accretion of duties can be used as a basis for promotion without competition in accordance with the agency Merit Promotion Plan.

Reporting and Acting on Desk Audit Findings.

Regardless of the results of the desk audit, the supervisor should meet with the employee and provide him or her with a copy of the evaluation report. If the desk audit findings conclude that the position supports reclassification to a higher grade, the supervisor shall take immediate action to effect the reclassification or reassign/reallocate the work.

If reclassification to a higher grade is supported by the HRSD, POB the supervisor may take action to promote the incumbent (if it qualifies under the Merit Promotion Plan), advertise the higher graded position in accordance with the agency Merit Promotion Plan, or change the title or series as recommended in the desk audit findings. Supervisors may also consider workload projections and if it is determined that work at the higher level is not expected to continue over the long term, assign the higher-level duties to a higher graded employee. The feasibility of a temporary promotion may also be explored with the HRSD, POB as an option to resolve the short-term work issue.

If the desk audit findings conclude that the incumbent's current grade is no longer supportable, the position may be downgraded and the employee designated as an "incumbency." This means that the position will be subject to review for proper classification, once vacated.

Effective Date of Actions. The effective date for promotion actions resulting from desk audits, assuming that the action meets all the requirements as an exception to the agency Merit Promotion Plan, should normally be effective no later than the second pay period after the decision by the supervisor. Promotion actions resulting from desk audits are not retroactive. No entitlement exists for compensation at a higher grade level prior to the effective date of the promotion personnel action.