




Policy Title	Classification Plan and Position Management
Effective Date	February 1, 2024
Supersedes	N/A
Approval	 Matthew A. Brown State Personnel Director
References	IC 4-15-2.2; 31 IAC 5; Financial Management Circulars

PURPOSE

This policy provides an overview of the principles and procedures for administering the State's job Classification and position management system.

SCOPE

This policy shall apply to all agencies in the executive branch of State government subject to the State Civil Service System.

POLICY STATEMENT

The Indiana State Personnel Department (INSPD) maintains a centralized system that establishes consistency in how positions are classified, allocated, and organized. The State's Classification system identifies each position by Job Category, Job Series, Job Code, and job title. IC 4-15-2.2-27 requires each job Classification to be assigned to a pay plan for the purposes of establishing a minimum and maximum rate of pay. INSPD maintains a separate policy outlining the State's approach to compensation.

The Classification system interfaces with a Job Profile and competency framework, also referred to as job architecture, which provides a common language for job titling conventions, job description development, salary grades assignment, career pathing, and employee development and succession planning. Maintaining role-based Job Profiles and competency assignments within the Classification system enables consistent, strategic human resources service delivery across the state.

INSPD reviews the positions within the State's Classification plan periodically and may reclassify positions based on the duties and responsibilities being performed at the time of the review. Agencies may, with sufficient justification, request that INSPD conduct a review of any existing position to confirm appropriate job Classification assignment or request to establish a new position or job Classification.

DEFINITIONS

Classification: Identifies a group of positions in the state civil service as determined by INSPD to have sufficiently similar duties, authority, and responsibility such that:

- 1) the same qualifications may reasonably be required, and
- 2) the same schedule of pay can be equitably applied to all positions in the group.

Classifications are identified with a unique Job Code based on assignment by INSPD to a Job Category, Job Series, and Skill Level.

Compensation and Classification Review (CCR): A process during which representatives from INSPD, State Budget Agency (SBA), Office of Management and Budget (OMB), and the Office of the Governor are tasked with managing and reviewing requests for new positions, Executive Hires and corresponding compensation requests, pay plan changes, requests inconsistent with INSPD policy, and any compensation-related requests defined under SBA's Financial Management Circulars and the Compensation policy.

Compensation Consultant: Representative from the INSPD Compensation & Organizational Design Division authorized by INSPD to approve and advise on compensation, Classification, and position management decisions.

Executive Hire: Applies to most hires into a job Classification with a Job Code beginning with 00EX- or 00EN.

Exempt: Exempt work is not eligible for premium overtime compensation under the Fair Labor Standards Act and the Financial Management Circular that implements 31 IAC 5-7-3. This exemption applies to bona fide executive, administrative, and professional positions. An employee's specific job duties and salary must meet all the requirements of the US Department of Labor's regulations to qualify for an FLSA status of "Exempt."

HR Representative: Representative from the INSPD Field Operations Division (e.g., HR Director, HR Manager, HR Business Partner) assigned to an agency to provide guidance and consultation regarding HR functions and issues.

Job Analysis Questionnaire (JAQ): A comprehensive tool utilized by INSPD to evaluate a position and assign it to a Classification, Job Category, Job Series, and a Skill Level based on job tasks, how the job is performed, and the requirements to execute the identified job duties and responsibilities. A JAQ is completed by an employee and reviewed by the employee's supervisor. It seeks information on the following: the purpose of position; duties, knowledge, and abilities required for the position; specialized tools, equipment, and machines necessary to perform the job; job requirements; certifications, licenses, or other special training necessary to perform the job; principles, theories, and/or precedents required to perform the job; level of understanding required; scope of responsibility; difficulty of work; instruction needed; consequence of error; work relationships; decision making; special regulations or precautions; work environment; and physical requirements.

Job Category: Identifies a group of job Classifications that share a broad commonality with respect to the type of function expected to be performed. The job categories utilized within the State's Classification system are as follows:

1. Clerical, Office Machine Operators, and Technicians (COMOT)
2. Executive, Scientific, and Medical (ESM)
3. Labor, Trades, and Crafts (LTC)
4. Professional, Administrative, and Technological (PAT)
5. Protective Occupations – Law Enforcement (POLE)
6. Supervisors and Managers (SAM)

Job Code: Used along with Classification titles, a number and letter combination that indexes a classification. A person may not be appointed to or employed in a position in the State Civil Service System unless the Indiana State Personnel Director has approved the classification and job code as appropriate to the duties to be performed.

Job Description: A tool that explains the tasks, duties, essential functions, and responsibilities of a position.

Job Series: Identifies a group of positions that have similar areas of expertise, typically organized by varying Skill Levels.

Position Control Number (PCN): A unique number that is assigned to every state position.

SBA Budget Analyst: Representative from SBA authorized to approve and advise on fiscal matters related to compensation and position management decisions.

Skill Level: Used to indicate the difficulty or complexity of the job-related duties and requirements within a Job Series; Skill Level is a number, with 1 (one) generally being the highest level within a Job Series and Job Category.

RESPONSIBILITIES

State Personnel Director is responsible for:

- Preparing and administering the State's Classification and pay plans and related policies;
- Administering changes to the Classification plans; and
- Serving as the authority over statewide Classification policy.

Agency Appointing Authority and/or their designee is responsible for:

- Adhering to the State Civil Service System of personnel administration, per IC 4-15-2.2-12(c);
- Reporting each appointment, lateral transfer, promotion, demotion, and change in job duty assignment to INSPD;
- Administering this policy consistently;
- Notifying the agency's HR Representative of any potential need for a position-related change request;
- Providing the agency's HR Representative with any information and documentation requested that pertain to a position-related change request; and
- Seeking advance approval for Classification changes from INSPD through defined processes.

Employees are responsible for:

- Accurately and timely completing JAQs, whether completed on the employee's own initiative or at the direction of an agency or INSPD; and
- Notifying INSPD or their supervisor if they do not understand their job responsibilities or believe they are performing work that is not appropriate for their Classification.

HR Representatives are responsible for:

- Providing workforce planning support and analysis to agencies considering Classification changes;
- Analyzing and articulating the agency's business needs for position-related requests;
- Documenting and submitting to INSPD Workforce Strategy & Performance Division the justification for any Classification changes consistent with the factors permitted to be considered under this policy;
- Submitting requests for position management changes using the designated procedures and forms for INSPD and SBA approvals as necessary; and
- Assisting employees and supervisors in the completion of JAQs.

INSPD is responsible for:

- Assigning all positions to a Classification;
- Monitoring market trends and other factors to keep the State's classification and compensation system competitive while balancing the State's fiscal policies;
- Reviewing position change requests;
- Administering the State's Classification system; and
- Interpreting and effectuating this policy.

Supervisors are responsible for:

- Adhering to the State Civil Service System of personnel administration, per IC 4-15-2.2-12(c);
- Reviewing JAQs for accuracy and completeness, and adding additional context or information to the employee's information prior to submission;
- Seeking approval for Classification or job duty changes from INSPD through designated processes; and
- Submitting to the agency's HR representative justification for Classification change consistent with the factors permitted to be considered under this policy.

SBA is responsible for:

- Reviewing position change requests to ensure available fiscal resources; and
- Issuing guidance for overtime compensation requests.

PROCEDURES

Job Code Action Process

The Job Code Action Process (JCAP) is INSPD's process for analyzing an agency's request to make a change to an existing position or Classification or to establish a new position or Classification. Following a discussion between an Agency Appointing Authority and their HR Representative, the HR Representative may initiate the JCAP by submitting a request to the INSPD Compensation & Organizational Design and the INSPD Workforce Strategy & Performance Divisions. Requests may require the completion and submission of one or more JAQs, which will be analyzed by INSPD to determine if the requested action is supported by facts or if there is a more appropriate course of action, if any, to be taken.

A JAQ that is submitted via the Job Code Action process is reviewed to determine appropriate Job Category and Skill Level using an evaluation method that assigns point values to defined factors of a job using established guide charts. Each Job Category has its own unique guide chart to evaluate factors such as job requirements, difficulty, responsibility, personal work relationships, and other relevant factors, if applicable. Once the appropriate Job Category and Skill Level are defined, the essential duties, functions, and competency requirements of the job are then compared to various Job Profiles to identify a matching Job Series and Job Classification.

Actions Related to Position Job Code or Classification Assignment

At the conclusion of the Job Code Action Process, INSPD shall provide the requesting agency with a recommended course of action. If the agency wishes to proceed with the recommended action and their budget allows for any resulting salary changes, the HR Representative shall proceed with submitting a request through INSPD's Human Resource Information System, PeopleSoft, for the purpose of obtaining the necessary compensation and budget approvals and to implement the recommended position changes.

The following request types, and corresponding processes, are position-related actions that must follow the JCAP:

- a. **Job Reclassification** - A position may be reclassified when there are significant changes in duties, authority, or responsibilities assigned to the position. An Appointing Authority may request a position be reviewed and considered for reclassification to meet the organizational needs of the agency. An employee may also request their position be reviewed and considered for reclassification. Job Reclassifications require the approval of a Compensation Consultant and an SBA Budget Analyst, as it may result in a compensation change.
- b. **New Classification:** An Appointing Authority may request the creation of a new job Classification due to agency organizational needs. Alternatively, INSPD may initiate the creation of a new job Classification if it finds that existing job Classifications do not sufficiently align with the duties and responsibilities of the position(s). Prior to establishing a new job Classification, the INSPD Workforce Strategy & Performance Division will coordinate with the requesting agency to finalize a unique profile of job duties, requirements, and responsibilities (i.e., the Job Profile). Simultaneously, the INSPD Compensation & Organizational Design Division will conduct market data research and compile relevant salary and job data to determine where within the State's compensation plan the new job Classification will be assigned. Once salary range information has been identified and a Job Profile has been written, INSPD will submit a request to the Indiana Office of Technology (IOT) to create a new Job Code within the State's HRIS and recruiting systems (i.e., PeopleSoft and SuccessFactors). Finally, the HR Representative for the requesting agency shall submit either a Job Reclassification or a New Position request, whichever is most appropriate for the agency's needs. New Classifications require the approval of the INSPD Director of Compensation, State Personnel Director, SBA Director, and the Office of the Governor.
- c. **New Position:** An Appointing Authority may request the creation of a new position due to agency organizational needs. Pursuant to FMC 1.1, any request to create new positions must include significant justification and will be highly scrutinized. New position requests require the approval of a Compensation Consultant and an SBA Budget Analyst. Certain

requests may require heightened review by CCR to evaluate the agency's operations and identify areas where the requested staffing capacity may be achieved through alternative operational changes or efficiencies.

- d. **Reorganization:** An Appointing Authority may request a reorganization of a department or team due to changing agency organizational needs. A reorganization may involve several reclassifications and new positions being created simultaneously and may also involve changes to other characteristics of the position (e.g., Reports To, Department, and/or Location changes). Reorganization requests require the approval of a Compensation Consultant, SBA Budget Analyst, and the INSPD Director of Compensation. Reorganizations may require heightened review and approval pursuant to SBA's Financial Management Circulars.

Other Position Related Actions

The following request types are position-related actions that generally do not require review via the Job Code Action Process but must be submitted to the INSPD Compensation & Organizational Design Division through the INSPD HR Representative:

- a. **Overtime:** An agency may request authority to issue payment of overtime to Exempt positions when a project or emergency necessitates an extraordinary amount of time be worked beyond the regularly scheduled hours for Exempt positions. This does not apply to agencies that allow the accrual of compensatory time consistent with the authorizing Financial Management Circular. Such requests require the review and approval of a Compensation Consultant and an SBA Budget Analyst.
- b. **Position Status Change:** A change to a position's status (e.g., part-time to full-time) may be necessary due to agency needs. A Position Status Change request is also used to add or remove a Working Leader designation to or from a PCN. A Position Status Change requires the review and approval of a Compensation Consultant.
- c. **Reactivation:** This process is used to recreate a PCN that was previously removed from an agency's staffing report due to budgetary constraints or that was no longer needed in the agency. A Reactivation request is most commonly used to add Governor's Summer Intern positions to an agency's staffing list during the appropriate time frame. A Reactivation request requires the review and approval of an SBA Budget Analyst and a Compensation Consultant.
- d. **Doublefills:** A Doublefill occurs when a position is occupied by more than one employee for one of the following reasons:
 - i. An employee is on an approved medical or military leave, and another employee is placed on the same PCN for the duration of the leave. Hiring managers are expected to inform the individual accepting the position that the assignment is temporary and will conclude upon the return of the employee on leave.
 - ii. Upon notice of an employee's intent to resign or retire, an Appointing Authority may hire and start the individual who will occupy the position being vacated for the purpose of job knowledge transfer and cross-training.
 - iii. Two part-time employees may occupy one full-time PCN.
 - iv. When two full-time employees occupy a single full-time position temporarily pending the creation of an approved new position with the intention of transferring one of the employees to the new position.

Doublefills lasting longer than six months must be approved by a Compensation Consultant and an SBA Budget Analyst.

- e. **Underfills:** An underfill occurs when an employee is classified within the same job series but at a lower skill level than the Classification of the position they occupy. This typically occurs if the employee does not yet meet the minimum qualifications for the skill level of the position or is in an agency-defined training program to allow the employee to meet the required skill level. The employee must meet the minimum qualifications or training requirements, if applicable, for which the position is classified before an underfill is removed. An underfill is processed by an HR Representative as a step in the hiring process. Supervisors shall monitor the progress of an underfill toward meeting the qualifications and/or training requirements of the position's Classification and promptly notify their HR Representative to remove the underfill designation when appropriate.

FORMS & RESOURCES

Compensation and Organizational Design | [Compensation Webpage](#)

Compensation Policy | [Compensation Policy](#)

Core Competencies and Job Architecture | [Core Competencies & Job Architecture Webpage](#)

Financial Management Circulars | [Financial Management Circulars](#)

Job Code Listing | [Job Code Listing](#)

JAQ form | [Job Analysis Questionnaire Form](#)

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