roll or other position list. A list of all questionnaires missing without explanation should be transmitted to the appropriate liaison man, with a request for advice regarding them. A follow-up should be continued until all questionnaires have been returned.

It is inevitable that some of the questionnaires received will be filled out inadequately or incorrectly. Ordinarily, however, it is not worth while to delay subsequent steps while all the questionnaires are inspected for deficiencies, the forms returned with instructions for correction, and the questionnaires checked in again as second receipts. In addition to the time this would consume, it is not a desirable procedure from the standpoint of cooperative relations. It is better not to examine the questionnaires for deficiencies until they are being studied for the purpose of sorting them organizationally and occupationally. Then those seriously defective can be noted for specific coverage in the later work-audit program.

In two types of situations, however, an immediate return of unsatisfactory questionnaires might be warranted: (1) where the questionnaire does not contain the employee's own description of his work, there being no reason (such as the employee's absence) for this defect; and (2) where a group of employees have agreed upon a stereotyped, uniform statement to describe their positions,

instead of submitting individual statements.

4. Keeping information current

The questionnaire survey is in effect an inventory of the positions in the service as of the date the forms are filled in. It is obvious, however, that the service, its positions, and its employees will not remain static while the position-classification plan is being developed. Additional positions will be created, some of which will be different in kind from any previously reported, and additional employees will be hired to fill them. Some employees who filled out questionnaires will be promoted or transferred to other kinds of positions, and some will resign from the service. Under ordinary circumstances, it is agreed that changes occurring during the developmental period should be covered before the position-classification plan is put into effect. The question is: Should they be covered (a) continuously during this period by a formal procedure in the nature of a perpetual inventory, or (b) only through the work audit, followed by a definite check-up during the installation process?

To keep information current as to these changes requires that distinctive forms and instructions be devised for use by departments, employees, and supervisors in making periodic reports to the classification staff. Whether such a procedure should be employed depends on local conditions. Factors for consideration

are: (1) the size and complexity of the jurisdiction and the number and kinds of changes that may be anticipated; and (2) the length of time it is estimated will ensue before the installation procedures actually get under way.

In a small jurisdiction, or in one where changes are not numerous or frequent, reports can be required and currently taken into consideration by the classification staff without anyone's assuming a heavy burden of work. If the jurisdiction is large or if there may be a substantial delay before the position classification plan is installed, it would probably be better to plan for a complete check-up as the initial installation step, rather than attempt to maintain a perpetual inventory of the duties and responsibilities of all positions in the meantime.

C. DEVELOPMENTAL PROCEDURE

From the time the questionnaires are checked in to the time the processes of installation are encountered, the development of a position-classification plan in a fairly large jurisdiction normally involves the following procedures: (1) Arranging questionnaires in organization order and, after studying them, preparing rough pencil charts of organization structure; (2) arranging questionnaires occupationally—that is, by occupational groups and series of classes; (3) analyzing positions; (4) determining classes tentatively;

Analysis occurs prior to sorting

(5) determining relationships among classes; (6) selecting class titles; (7) preparing working definitions of classes; (8) allocating positions to classes tentatively; (9) conducting work audits; (10) revising classes, class titles, allocations of positions to classes, and working definitions of classes; (11) writing class specifications; (12) drafting code of rules for the installation and administration of the plan; (13) obtaining final criticisms and adjusting disagreements; and (14) adopting the position-classification plan.

In some original classification projects, the classifiers have worked with two copies of each questionnaire—the original and a duplicate. The purpose of this procedure was to make available for the concurrent use of the staff engaged on work audit and those engaged on coordination, class-description writing, and checking processes, sets of questionnaires continuously arranged in the two ways which experience has shown to be desirable. One set is sorted and maintained in organization order, while the other set is kept in class order, as classes are developed.

So far, experience has not indicated that the technical advantages of this procedure outweigh the clerical expense of maintaining an additional questionnaire file, locating corresponding questionnaires, and constantly

transferring field audit or other notations from one set to the other. Many of the advantages of the organization-order set can be secured through a first sorting of the questionnaires in organization order as indicated below, if the questionnaires are given code or serial numbers, keyed to the charts. This will facilitate re-sorting them into the original organization order whenever it is found that the organization charts will not supply the necessary information.

In the current survey of bureau-chief positions by the National Personnel Authority three copies of the position description were requested: one copy to be retained by the ministry, one copy to be retained by the Position Classification Section, and one copy to be used by the Examination Section. For the present the copy retained by the Position Classification Section should be filed organizationally. The Examination Section should finish their use of the position descriptions and return them to the Position Classification Section before actual developmental work begins.

The following discussion assumes that the classification staff will work with one copy of each questionnaire.

1. <u>Arranging questionnaires organizationally and preparing organization charts</u>

Arranging questionnaires in organization order is a process of sorting according to organization units and lines of supervisory responsibility. The questionnaires as received from the operating departments should be grouped by organization units, but these units may be large or small and within each unit the questionnaires may be only approximately in organization order. The items on the questionnaire which will aid most in the organization-order arrangement are those which identify the positions, employees, or units under each supervisor and those which identify the immediate supervisor of each employee. It is very important, as you can see, that complete information regarding organizational location be given on the position description questionnaire in Item 6.

As the physical result of this sorting process, the questionnaires of all employees under the same supervisory official fall together, the questionnaire for the immediate superior coming at the top of each lot. Thus the questionnaires are in blocks corresponding to the blocks on the conventional organization chart. When this is done, the questionnaires are given a significant code or serial number to facilitate sorting them back to organization order, in whole or in part, whenever that might be desirable. These code or serial numbers should be indicated on the corresponding organization chart.

The major purposes of this process are (a) to facilitate the drafting of working charts of organization structure, so that the place of each position in relation to lines of authority and supervision may be known; and (b) to permit the raising and noting of points respecting organization structure or supervisory responsibility on which the questionnaires apparently are in conflict.

At the same time that the questionnaires are being arranged in organization order, the classifier should be alert for discrepancies and apparent inconsistencies as to lines of authority and responsibility and other matters which will affect later decisions. He also should watch for indications of missing information or similar errors which necessitate obtaining additional data. In this way, points to be covered either immediately or later during the process of the work audit are recorded for future coverage.

In small classification projects, or in any case where reliable and current organization charts are available or can be constructed without reference to the questionnaires, the preliminary step of arranging the questionnaires in organization order may be omitted. The first physical sorting is then on an occupational basis, discussed below. Under these circumstances, questions of missing or erroneous information are raised during the occupational sorting; but questions about supervisory relationships and responsibilities usually

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must be deferred until classes are being tentatively established or work audits are being made.

After the position descriptions have been arranged organizationally, personnel charts should be drafted for each organizational unit giving the names and payroll titles of the personnel and arranged in such a way as to indicate the supervisory relationships of the positions. In the larger or more complex organizations, more general organization charts are required to define the relationships among a number of organization units. A general or "master" chart coordinates the more detailed charts and needs to include only the names of key supervisory personnel. For large organizations, functional organization charts are drafted separately from personnel charts by reason of the space that is required.

2. Arranging questionnaires occupationally

After rough organization charts have been prepared, a sorting of another type is made. In jurisdictions having as many as a thousand positions it will usually be found that the analysis of positions and the recognition of the classes that exist can be carried out most conveniently only after questionnaires representing similar, analogous, or associated occupations have been identified and grouped together for concentrated study. This calls for a preliminary occupational sorting.

First, the occupational groups into which the questionnaires are to be sorted are determined. These groups are selected more or less arbitrarily on the basis of a general knowledge of the service, in order to bring together for working purposes questionnaires covering positions that involve the same or associated professions, trades, vocations, lines of work, or fields of endeavor. For example, positions filled by engineers, draftsmen, and inspectors of engineering or fabrication, are sufficiently related functionally so that they should be studied together later, with a view to ascertaining what classes exist and how much classes should be described. Similarly, for working purposes, some positions involving the operation of certain office appliances, such as calculating machines, graphotypes, addressographs, etc., should be studied together because analogous classification problems arise in those cases.

The groups used as a basis for preliminary sorting form a working basis to facilitate the proper assignment of the personnel of the classification staff, to show where the services of subject-matter consultants might be used to advantage, and to provide a means for effectively concentrating the study of classes during the next processes of analyzing the positions and tentatively deciding upon the classes which actually exist. Those experienced in the classification of engineering

positions are confined to the group of questionnaires sorted to the engineering group; consultants in a given field, for example, accounting, are assigned to accounting questionnaires, and so on.

These groups may be few or numerous, depending somewhat on the size of the survey. In very large surveys many groups should be established, so as to avoid so far as possible the necessity later on of going through an additional sorting process. Sometimes, where a large or partly inexperienced classification staff is engaged, it is necessary to define these groups in writing, and to illustrate the kinds of positions falling in the various groups and the lines of distinction among the groups.

The preliminary sorting can be done by rapidly reading the information on the questionnaire describing the duties of the position. In the course of this process, no attention is paid to any of the following points:

a. Difficulty or responsibility ranking. Such important differences are taken up later on.

b. Organizational location. The sorting is cross-departmental.

c. Any finer segregation than that indicated in the predetermined occupational groups. Such finer segregation according to branches or specialties will be involved in subsequent steps.

Accordingly, the result of the preliminary sorting process will be an arrangement of the questionnaires into broad occupational groups, regardless of demarcations as to difficulty, responsibility, or occupational specialization.

3. Analyzing positions

After the questionnaires have been arranged in broad occupational groups according to kind of work, detailed analysis is begun. The preliminary occupational groups into which the questionnaires have been sorted are studied to determine the kind or character of work, irrespective of level.

A segregation of the positions is made according to any distinct branches or specializations within the preliminary occupational group with which the analyst starts. For example, within a clerical group may be found stenographers, law clerks, statistical clerks, telephone operators, and other distinct lines of work. Each one of these breakdowns of the preliminary occupational group usually will be the over-all occupational area of what is known as a "series of classes."

A "series of classes" consists of several classes of positions closely similar as to line of work but differing in responsibility and difficulty, arranged in a ladder of steps in a normal line of promotion.

Having defined, according to character of work, the occupational limits of each series of classes derived from the group of positions being studied, the next step is to consider the relative level of each position within each series. Following the technique of analysis discussed previously, there is determined, tentatively, the comparability, relative ranking, or gradation of the positions in each series, based on the difficulty and weight of their duties and responsibilities. Within each series this is at first an over-all, "vertical" arrangement without definitive ranks. Care is taken to recognize as accurately as possible the lowest and the highest positions in each series, and to make detailed notes of work-factors or difficulty or responsibility items having a controlling or contributory bearing on the relative order in which the positions appear to fall. This process establishes, in a preliminary way, the lower and upper limits of each series of classes and places the positions therein in a continuous rank-order. The next objectives of the analysis are (a) to break up this continuous rank-order into individually distinct blocks, zones, or levels within the series of classes, i. e., to cut the series "horizontally" into individual classes of positions, and (b) to determine the relationships among classes in different series as to kind and level of work. These objectives involve, as a part of the problem of determining classes, the comprehension and

definition of such lines of demarcation as may exist between the lower and upper limits of the series, as previously decided upon. They also embrace the problem of "pegging" classes, according to kind and level of work, not only within a given series of classes, but in the whole classification structure.

4. Determining classes tentatively

5. Determining relationships among classes

6. Selecting class titles

Pd 1-16

These three topics were discussed in detail in the training unit "Content and Structure of Position-Classification Plans", I, II, and III, which should be reviewed at this time.

7. Preparing working definitions of classes

During the process of determining the classes to be established and selecting class titles, the lines of demarcation among the classes are necessarily major subjects for discussion and formulation. Some classes, or distinctions among classes, may be definitely regarded as only tentative in character, to be analyzed again in the light of the results of investigations or work-audits, the allocations of individual positions to the classes, or criticisms and suggestions by supervisors and employees. Other classes will go through the developmental stage without material modification. In either event it is important that

decisions, even though tentative, as to classes and the differentiations among classes shall be reduced to writing as soon as made, accompanied by questions and notes for later attention. They should then be kept available to each member of the classification staff for reference and use during the following phases of the program.

This written record provides a good working tool for work-audits, conferences with supervisors and employees, the preparation of class specifications, and the allocation of positions to classes. It will call attention to the specific points to be covered or the questions to be asked in work-audits or conferences. It will bring up definite points for consideration by supervisors and employees. It will make sure that the various problems involved in establishing classes are continually kept in mind, and the decisions thereon later reflected in the class specifications. It will bring the different members of the classification staff into a common understanding of the position-content of the classes. This is an important item where work-audits, investigations, or conferences with supervisors and employees may later be assigned on a departmental basis, in which event the same staff member will have all the positions in specified organization units, falling in various classes, within his assignments.

The purpose is simply to record decisions for the time being, so as to make them definite enough for the raising of specific issues requiring further analysis.

Such a record may conveniently consist mainly of a series of preliminary or working definitions of classes, prepared concurrently with the establishment of classes and class titles, as tentative decisions are made. Each working definition includes the class title and a short statement of what the class consists of in terms of work-factors, and is confined largely to setting forth, as clearly as possible at that time, the factors that differentiate that class from all others. The following will serve as illustrations of such working definitions:

Telephohe Operator--Operates standard branch exchange telephone switchboard and performs simple clerical tasks associated with this work, such as keeping records of long distance calls; on duty one shift as assigned by supervising telephone operators; responsible for own work only.

Supervising Telephone Operator-- Supervises the work of a small squad of telephone operators, not more than five as a rule; responsible for quality of performance of these operators and for seeing that the work runs smoothly; assigns shifts and gives instructions to the operators, especially to new operators; operates one shift personally in most instances; in full charge of the board and reports to a building superintendent or other supervisor having many other types

of responsibility.

Guard I— This is the first level of prison guard positions. It includes wall guards, shop guards, kitchen and dining room guards, dormitory guards, turnkeys, and searchers. It also includes two watchmen at Brighton who are armed with shotguns and patrol egresses from the institution. Guards maintain order, supervise conduct of inmates, and attempt to prevent escapes.

Guard II— Performs responsible guard duty, not necessarily involving supervision of other officers, but involving work at key positions or work having general management responsibilities. Employees may have charge of a detail of other guards three days a week. Includes chief turnkey (keys and armory) and chief cellhouse keeper at St. Cloud Reformatory, and, at Stillwater Prison, cell hall captains and a half-time deputy warden who performs guard duties at other times.

Such working definitions as these are, of course, constantly subject to revision in the light of the results of later steps in developing the position-classification plan. They should therefore be kept up to date, as changes are made or new ones written, so as to provide a constant guide and control as to

classes and differentiating factors, up to the time when the information is incorporated in a class specification. If a pay plan is being concurrently developed, these working descriptions will serve very well as definitions of "key" classes on which outside wage data may be collected and compiled.

8. Tentatively allocating positions to classes

The recognition of classes and the identification of the position-content of each class are virtually simultaneous operations. As the questionnaires are studied, differentiating factors decided upon, classes tentatively determined and named, and working descriptions written, all questionnaires falling in a single class are placed and kept together. When these steps are completed, at least for the time being, for a particular occupational group, each questionnaire is labeled with the title or symbol of the class in which it falls.

9. Conducting work audits

The primary purpose of a work-audit is to clarify, verify, or supplement the facts about positions, as given on the position-description questionnaires, and thereby to increase the classifier's understanding of such positions. Its method is that of personal interview, observation, and conference.

The extent to which work-audits may be carried out during the developmental process is governed not only by the necessities of securing or checking inform-

ation but also by the time and personnel available. In an original survey project the whole jurisdiction has to be covered in a limited time, and hence it is usually necessary to confine the work-audits to the time and staff available, and to the kinds of questions or problems on which it is essential to make further inquiry.

In any Government Agency, personal interviews with employees, supervisors, and administrators conducted by the classification staff pay dividends in good will, cooperation, and common understanding of the duties and responsibilities of the positions being classified. To the extent that they are carried out during the developmental stage, the work of installation is facilitated. In large and complex ministries, the personal interviews and conferences constituting the work-audit procedure are substantial parts of the developmental program. Even after the utmost care in the design of the questionnaire and in instructing supervisors and employees as to what information is required and how it should be presented, some questionnaires will be too inadequate to be analyzed properly and others will contain apparent inconsistencies or errors that should be looked into. In addition, it is always well to cover thoroughly (a) positions which are typical samples of large groups, (b) positions which represent key or important classes

in the classification plan, (c) positions which are of uncommon types, and (d) positions the classification of which will raise unusual or controversial issues, when such classifications are later used in pay-fixing, recruiting, or other personnel processes.

Members of the classification staff are assigned to specified organization units and are given the questionnaires for such units arranged in organization order. Arrangements are made with the liaison man or other official of the operating agency for a preliminary conference with the bureau chief on the work-audit process. At this conference the investigator advises the bureau chief of the present status of the classification survey, outlines the procedure and purpose of the work-audit, and inquires whether there are particular points that he wants covered in the field audit. The over-all organization and functions of the bureau are discussed, using as a basis the rough organization chart prepared from the questionnaires. The bureau chief should suggest key personnel to be interviewed and any preferences as to scheduling so as to interfere as little as possible with current operations.

Somewhat the same program is followed in interviews with administrators or supervisors at the level next below the bureau chief. The topics that would be

discussed are the organization and functions of the unit for which the administrator is responsible, his working relationships with the bureau chief and with his own intermediate supervisors, and the purposes and objectives of the work of his unit in relation to the work of the department. Frequently it is desirable in some kinds of activities to make a visual inspection of the physical layout, in the course of which the work-auditor is introduced to supervisors and other employees. The intermediate supervisors are next interviewed in the same manner and arrangements are made for interviews with employees.

It is frequently advantageous, particularly where there is any conflict in the facts collected by the staff member, to go back through the supervisory setup, both for the purpose of checking facts and for an opportunity to express appreciation for the cooperation received. The results of the work-audit are reduced to writing although not necessarily worked into a formal report. Where the result is simply that the information given on the position-description questionnaire is verified and the staff member raises no question about the tentative class to which the position has been allocated, a notation to this effect may be placed on the questionnaire and no separate field notes need be written. Separate work-audit notes, however, are written in order to fill in any

inadequacies or blank spots in the position-description questionnaires and bring out considerations bearing on the kind of work or the degree of difficulty or responsibility in the position. It is usually helpful to have the audit notes conclude with an evaluation showing the investigator's judgment as to whether the tentative allocation of the position is correct and if not what the proper allocation should be.

Both in collecting information during the work-audit and in reducing it to writing, the staff member should bear in mind that his notes will be used in conferences leading to revisions of tentative classes, allocations of positions to classes, and working descriptions of classes, and that they are intended to aid also in the writing of class specifications, in the conduct of hearings during the adoption and installation period, and to some extent in the continued administration of the classification plan.

10. Revising classes, titles, allocations, and working definitions.

Concurrently with the progress of work-audits, the project supervisor and other staff members conduct a coordinating review preparatory to the writing of class specifications. Work-audit notes are studied to determine their effect upon the tentative conclusions reached up to that point. As a result of

additional information or changes in facts developed during work-audits, and with the aid and counsel of occupational specialists and field-audit men, revisions are made in the classes, class titles, allocations of positions to classes, and working definitions of classes. Appropriate changes in questionnaires and other records are made by the clerical staff. This process continues until all questions as to the facts or their evaluation, raised during preliminary analyses or work-audits, are cleared.

11. Writing class descriptions

An important activity in the original development of a position-classification plan is the writing of definitive statements describing the characteristics of each class in terms of duties, responsibilities, and tasks, and the qualifications which the work of that class makes necessary or desirable. The form and content of such statements, commonly called "class descriptions," require careful attention.

After classes have been tentatively established, class titles selected, and working definitions of classes prepared, progress can be made on the writing of class descriptions. However, this activity should be subordinated to necessary or desirable investigations, work-audits, and conferences. Such processes

will add to the significant factual data available, will raise questions not perceived at the outset, and will tend to change the position-content of some of the tentative classes and the lines of demarcation among them. Hence, concentrated effort on the completion of class descriptions should await that stage of progress where all or nearly all, the facts have been secured and, so far as possible, checked for the group of positions covered in each class specification writing assignment.

In actual practice, positions are usually allocated to classes on the basis of the tentative class definitions and the classification plan adopted and installed prior to the writing of the class descriptions, which requires for a large service a long period of analytical study. Immediately prior to such a program, specialized training in the writing of class descriptions should be given.

12. Drafting code of rules

During the course of developing a position-classification plan, and more or less concurrently with the establishment of classes, a code of rules is prepared to govern the installation and the continued administration of the plan. It should be ready for adoption when the installation period begins.

Rules for the administration of the position-classification plan should

cover among other things: (a) definition of terms, description of the position-classification plan; (b) installation of the classification plan; (c) allocation and reallocation of positions to classes during the continuous administration of the plan; (d) interpretation of standards; and (e) amendment of classes, standards, and rules.

13. Obtaining final criticisms and adjusting disagreements

Before the classification plan, including the class descriptions and the code of rules, is officially made the subject of a favorable recommendation to the personnel agency or to a higher authority, it should be reviewed and criticized by the classification staff in conference, and also by selected officials, employees, or other interested groups, particularly those whose cooperation during the progress of the survey has been especially helpful. This "clearance" concerns the merits and validity of the classes, the class titles, the class descriptions, and the tentatively drafted rules. Questions touching the allocation of individual positions are reserved for consideration during the procedure of adoption and installation.

The process of obtaining criticisms and adjusting disagreements relative to the classification plan itself involves (a) informal or preliminary conferences or contacts, (b) publication and distribution of the classification plan for

comment and criticism, followed by conferences with the classification staff, and (c) hearings before the personnel agency responsible for adoption or for recommending adoption.

After preliminary clearances and as a basis for general review and criticism, there should be duplicated four documents: (a) a list of classes by class titles, arranged in schematic order according to series of classes and occupational groups and services when used; (b) a full set of class definitions; (c) the proposed code of rules; and (d) an explanation of this material, with suggestions as to the topics of questions to which attention should especially be directed. There should be enough of these documents to permit officials, employee representatives, and other interested groups to read and become familiar with them.

II. ADOPTION OF THE POSITION-CLASSIFICATION PLAN:

The officials authorized to adopt the position-classification plan should now be ready to consider it in detail and to make their determinations. They may take up one by one the points raised by those attending the hearings, give consideration to their suggestions, hear further discussion of each point by the classification staff, and receive a final recommendation on the basis of conferences held following the hearings or agreements reached. In many cases the officials will make their determinations on the basis of this discussion. In other cases they may wish to

call in employees or their representatives or others for direct questioning regarding their views. In any event, the officials should proceed point by point to dispose of all issues and make final determinations.

The procedure for adoption will vary with the local situation. Some formal action is of course required before the procedure of actual installation can be undertaken. This action may be legislative, executive, or both. For example, the classification staff may, in some instances, be engaged as a technical group to assist a legislative committee. In other instances, it may be a part of or be employed by a central personnel agency which may be authorized to adopt the plan on its own authority. In still other instances, the central personnel agency may be authorized only to recommend the adoption of the plan to an executive official or legislative body of the jurisdiction such as a governor, mayor, city council, board of county supervisors, or state legislature.

The National Personnel Authority is directed by the National Public Service Law to develop the position-classification plan. It must then be presented to the Diet for approval.

III. INSTALLATION OF THE POSITION-CLASSIFICATION PLAN:

After the position-classification plan developed by the National Personnel

Authority has been approved, or adopted, by the Diet, the next step is its installation. The installation procedure in general consists of finally applying the position-classification plan to the individual positions in the jurisdiction, that is, allocating each of these positions to one of the established classes. This involves preparing allocation lists, conferring with operating officials, notifying employees of the allocations of their positions, adjusting disagreements, approving the allocation of positions to classes, and recording the approved allocations in the personnel and fiscal records of the jurisdiction.

A. Preparing allocation lists

The first step in the procedure is the preparation of lists showing the class to which each position in the service is proposed to be allocated. It is useful, if time and funds permit, to prepare these allocation lists in two forms: (1) for each class of positions, showing under major subheads by ministry, broken down, if necessary, by organization subdivisions, the position-questionnaire number, name of employee, and present payroll title, of each position in the class; (2) for each Ministry, agency, or institution, broken down, if necessary, by organization subdivisions, and identifying each position in the department by position-questionnaire number, name of employee, present payroll title, and title of the class to which the position is allocated.

As already indicated, the process of allocating positions to classes starts with the first provisional assignment of a class title to the position-questionnaire form and continues through a series of changes or verifications as further information is secured, classes established, and class specifications written. The extent to which these allocations are up to date depends, among other things, upon the completeness with which the facts have been ascertained, the attention paid to later changes, and the care with which information collected through the questionnaire method was tested and supplemented by work audits. In any event, before allocation lists are prepared, any remaining allocation questions should be reviewed and settled.

In addition it may be necessary to take account of changes in individual positions which have occurred since the original questionnaire survey. Even at the time the plan of classes and rules is ready for submission to officials and employees, there will usually remain a number of positions regarding which information is insufficient, conflicting, or doubtful, after all ordinary investigation processes have been completed. During the consideration of the plan of classes and rules, the classification staff should secure such additional information regarding those positions and determine the classification to be assigned. As positions are cleared, allocations are made definite and arranged for preparation of the lists.

B. CONFERRING WITH OPERATING OFFICIALS AND OTHERS

When, in the preparation of allocation lists, the greater portion of the positions in an administrative unit have been allocated and tentative assignments have been made to the others, conferences can be held with the supervisors concerned. Allocation lists are desirable for reference during the discussion, but conferences may be based directly upon allocations noted on the questionnaires, supplemented by a chart of the organization. As each series of classes comes into the conversation, a brief review is made for the officials of the essential characteristics and differentials of each class. Such a review will assist the supervisors to check the allocations. Then the tentative classification of each position, identified through the names of individuals, is read to the supervisors with requests for their comments. Positions whose allocations are uncertain in the minds of the classifiers are made the subject of critical analysis and discussion with the supervisors. Whenever an allocation is questioned, the reason for the questioning is developed and if any doubt exists in the classifier's mind at the end of the discussion the questionnaire is set aside for further study or investigation.

Clearance of allocations simultaneously with a number of supervisory officials in the same administrative unit provides the advantage of more than one viewpoint, and sometimes provides clues to factors not previously uncovered. For example, the

simultaneous clearing of allocation with several foremen is particularly helpful in checking on the allocation of laboring positions involving varied assignments among two or three unskilled and semi-skilled classes. It is not practical to observe each worker for an extended period of time, and so other methods of securing information are required. Conference with a group of foremen ordinarily will disclose this information.

In many instances similar clearance conferences at this stage with employee groups will prove advantageous. It may be impossible to secure agreement on all points, but respect for the fairness and competence of the classification process can be secured in most instances if the factors governing the classifiers' recommendations are fully presented.

But even after clearance and conference with ministry officials and others, and final weighing of all factors, the allocation of some positions will remain uncertain. There will be some positions that will be close to the border line separating the zones of two classes. The final decision should be made with due consideration of the effect on allocations of other positions having similar but slightly different characteristics. Experience indicates that an allocation of one position to a class more favorable than seems justified by comparison with other similar positions will cause dissatisfaction and agitation tending to break down

proper zones of differentiation among classes.

Following or concurrently with contacts with operating officials and employees, and as a part of the procedure for revising or checking allocation lists, a conference should be held with the personnel director and other personnel officials of the jurisdiction in order to acquaint them generally with the lists and give them an opportunity to review the allocations of positions with which they may be familiar. Such personnel officials may ask for demonstrations of the basis for particular allocations and may critically apprise the thoroughness and soundness of the procedure which has been employed. If not satisfied with this review, they may determine that a further audit of the allocations is required before the lists are released.

C. NOTIFYING EMPLOYEES OF ALLOCATIONS:

Copies of applicable sections of the allocation lists are furnished to administrative units and an individual notice is given to each employee showing the allocation of the position he occupies. The notice to the employee may be mailed to him or distributed through official channels. A statement should accompany the lists and each individual notice, advising employees that the allocations represent

the recommendations of the classification staff, that they relate to positions and not to persons, and that if any employee believes the allocation of his position is inaccurate he should file a written statement to that effect before a stated date, giving his reasons.

D. ADJUSTING DISAGREEMENTS:

Before arrangements are made for hearings on appeals from the allocations of which employees have been notified, the classification staff should review all statements filed by employees. All new information should especially be considered and employees and their representativec should be given opportunity for discussing their cases with members of the classification staff. After these conferences and such reinvestigations as may be necessary, the staff will make such changes in the list of recommended allocations as seem indicated, and will give notices of the finally recommended allocation to all employees who filed statements.

When the classifiers have made their finally recommended allocations, hearings should be arranged by the personnel or other officials responsible for advising as to allocations and for deciding upon them. The purpose of these hearings is to permit the responsible officials to make sure of the correctness of allocations before official adoption; to provide them with opportunity to present in writing and orally further pertinent data bearing on the allocations of certain positions

with which they are not satisfied.

Hearings afford employees an opportunity to present every pertinent factor bearing on their positions and to have the recommendation of the classification staff reviewed. This process uncovers and corrects inaccuracies and thereby improves the position-classification plan and removes warranted discontent. But in addition to this it ties the responsible personnel or other officials into the classification process and affords them an opportunity to apprise it. If the process has been thorough, the classification staff will have full information and background on all but a few of the appealed cases, and will be able to display to the officials the procedure upon which recommended allocations were based.

E. APPROVING ALLOCATIONS OF POSITIONS TO CLASSES

Upon completion of the allocation hearings, the allocation lists will be revised to accord with decisions reached by the responsible officials, and the revised list adopted officially. All employees who have appealed will be notified of the final determination with respect to their positions, and heads of administrative units will be supplied with allocation lists covering their units.

It may be expeditious in some cases to hold in abeyance the final allocation of a small number of positions because of exceptional conditions, such as impend-

ing reassignment of duties, anticipated changes in the scope and nature of duties in an administrative unit, or other complicating situations. In such event the general list can be adopted and exceptions made of such positions pending clearing of the conditions creating the uncertainty.

With these minor exceptions the general allocation list should be adopted officially as soon as practicable following final decision on appeals. Material delays may bring changes complicating and partially invalidating certain of the allocations. Such changes can be handled after the classification is initially completed, but may endanger the whole plan if action is unduly delayed.

In a large service, some minor revisions of the classes or class specifications are likely to be required by developments arising out of the installation processes here described. Such changes should be considered and adopted simultaneously with the clearance and determination of allocations.

F. RECORDING APPROVED ALLOCATIONS:

As previously pointed out, the new class titles, indicating the approved allocations, are to be used in all personnel, accounting, budget, appropriation, and financial records and communications of the jurisdiction. This requires the entry of such class titles on current records of the personnel, fiscal, and operating agencies, the conversion of eligible lists to the new basis, the

introduction of the new titles into the next appropriation or salary ordinance or statute or the schedules supporting such enactments, and the instructing of operating departments by the personnel and fiscal agencies.

It is sometimes convenient to provide that during the period of transition in changing from old to new appropriation, payroll or service-record titles, payrolls, budget documents, and other communications shall carry both the old and the new titles, until the former are definitely supplanted.

In conclusion, it is necessary to emphasize that the development, adoption, and installation of a position classification plan as outlined in the preceding material will vary in different governmental jurisdictions depending upon the special requirements and problems peculiar to a particular jurisdiction. The preceding material has explained the customary procedure employed by most jurisdictions but will not necessarily apply in its entirety to the position classification plan which will be developed for the Japanese national government.

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CIVIL SERVICE DIVISION
Government Section, GHQ, SCAP

Test in Position Classification
15 November 1948

I. Definitions of basic classification terms are given in the following material. For each definition the term itself has been omitted. Fill in each blank with the appropriate classification term.

Example: In Item 1, the term defined is "duty". Therefore, write the word "duty" in the blank for that definition.

1. _____: A piece of work which is assigned to an incumbent of a position and which he is expected to do.

2. _____: An employee who is under the supervision of another employee.

3. _____: Occupying only part of the normal tour of duty, or working hours.

4. _____: A major subdivision of the classification scheme, embracing generally all series of classes in associated or related occupations, professions, or activities.

5. _____: A meeting of two persons, usually by appointment, in which one questions the other to obtain information for some specific purpose.

6. _____: Supervision exercised through one or more intermediate supervisors.

7. _____: The employee to whom the duties and responsibilities comprising the particular position have been lawfully assigned or delegated.

8. _____: A specific office or employment, whether occupied or ~~vacated~~ vacant, consisting of a group of current duties and responsibilities assigned by competent authority and requiring the full-time or part-time employment of one person.

9. _____: The process of identifying the class to which a position belongs and the designation of a position by competent authority as being of a specific class.

10. _____: One who guides and controls other employees with respect to one or more of the following: scope of assignments, work methods, initiative and judgment, work results, production, working conditions, and discipline.

11. _____: A group of two or more classes of positions closely similar as to line of work but differing in responsibility and difficulty, which constitute steps in a normal line of promotion.

12. _____: The distribution of positions into groups called classes on the basis of similarities and material differences in their duties and responsibilities.

13. _____: A responsibility for the performance of a task which the employee will carry out himself.

14. _____: The official title adopted in the classification plan to designate each class and each position in a class on all pay rolls, budget estimates, and official personnel records pertaining to the positions.

15. _____: A zone of difficulty and responsibility of work including one or more classes of positions for which comparable basic qualifications and compensation are prescribed, the distinction between _____ being based upon differences in the importance, difficulty, responsibility, and value of work.

16. _____: A detailed written statement of the current duties and responsibilities officially assigned to an individual position.

17. _____: A position to which no employee is currently assigned.

18. _____: A personnel technician who analyzes and evaluates positions for the purpose of classifying them and/or prepares class descriptions setting forth the characteristics of classes of positions in terms of kinds of work and levels of difficulty.

19. _____: A group of individual positions sufficiently alike in duties, responsibilities, and consequent qualification requirements that the same tests of fitness may be used to choose qualified appointees and that the same schedule of compensation may be applied with equity under the same or substantially the same employment conditions.

20. _____: Supervision received through direct and immediate contact with the first supervisor directly in line over the employee.

21. _____: A classification survey covering all positions in a given class, series of classes, or occupational group, in whatever organization segment they may exist.

22. _____: A written statement which distinguishes the duties and responsibilities of one class of positions from those of other classes. It states the title of the class and usually shows the grade, occupational group, and series to which the class belongs.

23. _____: A position which has not been previously allocated and carried on the records as a currently existing position.

24. _____: A set of questions for submission to a number of persons to obtain data or information.

25. _____: A position constituted of duties that vary with time and are of different levels of difficulty or materially different kinds of work, where it is impracticable to allocate the position upward and downward from time to time to conform to such variations.

26. _____: The broadest grouping of related offices and employments under a classification plan.

27. _____: A personal investigation of the work of a position through interview of the employee and observance of work operations.

28. _____: An obligation to see that a function is performed or carried out.

29. _____: A general control not particularized and not bearing intimately upon details of employee's work; personal responsibility for results circumscribed by assignment.

30. _____: An organized and coordinated series of work audits in which the individual positions are studied at the same time, instead of intermittently at different times.

II. Complete the following by filling in the missing words and phrases. When two choices are given, strike out the phrase that does not apply.

1. A position-classification plan may be defined as a comprehensive orderly system for the classification of positions according to similarities and material differences in their duties and responsibilities. It includes (1) _____ and (2) _____

_____

2. A _____ is the smallest subdivision into which positions are grouped.

3. Three of the characteristics of a position are:

(1) _____

(2) _____

(3) _____

4. A position-classification plan groups _____

A pay plan establishes _____ for each class and for each position and _____ for each employee at a given time.

The establishment and administration of a pay plan involve consideration of factors other than duties and responsibilities, such as (1) _____ _____ (2) _____ and (3) _____.

These factors are taken into consideration at the time the pay policy is established; they cannot be considered when individual positions are allocated to classes. A change in the pay plan (does) (does not) require a change in the position-classification plan. For instance, the compensation schedule (may be) (may not be) revised upward or downward without affecting the classification of any positions.

5. For two positions to fall within a class, it (is) (is not) necessary for their duties and responsibilities to be absolutely identical.

6. Positions are classified on the basis of their duties and responsibilities.

List five factors that cannot be taken into consideration in the allocation of a position:

(1)_____

(2)_____

(3)_____

(4)_____

(5)_____

7. Position classification is an administrative tool. List seven uses of position classification.

(1)_____

(2)_____

(3)_____

(4)_____

(5)_____

(6)_____

(7)_____

8. Three objectives of class descriptions are:

(1) _____

(2)_____

(3)_____

9. The most typical form of a class description consists of:

(1)_____

(2)_____

(3)_____

(4)_____

10. The five basic steps used in developing a classification system are:

(1)_____

(2)_____

(3)_____

(4)_____

(5)_____

CIVIL SERVICE DIVISION
Government Section, GHQ, SCAP

Answer Key
Test in Position Classification

I. Basic definitions:

1. Duty

2. Subordinate

3. Part-time

4. Occupational group

5. Interview

6. Indirect supervision

7. Incumbent of a position

8. Position (job)

9. Allocation (classification)

10. Supervisor (supervisory officer)

11. Series of classes

12. Position classification

13. Nonsupervisory responsibility

14. Class title

15. Classification grade (grade)

16. Position description (job description, classification sheet)

17. Vacant position

18. Position classifier (classification analyst, position analyst, classification technician, classification investigator)

19. Class of positions

20. Direct supervision

21. Occupational survey

22. Class description (class definition, class specification, allocation standard)

23. New position

24. Questionnaire

25. Mixed position

26. Service

27. Work audit (desk audit)

28. Responsibility

29. General supervision

30. Classification survey

II. 1. (1) A system of classes and descriptions of the classes, and

(2) the fundamental rules for the installation and continuous administration of the plan.

2. Class

3. (1) In the public service, positions are created by the legislative body, a chief executive, or by the head or other authorized official in a department or other organizational unit.

(2) A position is characterized by duties and responsibilities as they exist; as long as they do not change, the position remains the same.

(3) A position may be occupied or vacant.

(4) A position may be full-time or part-time.

(5) Permanent or Temporary

4. positions into classes

the salary scale

the pay rate

1) cost of living

2) changes in the cost of living

3) comparison between pay levels in private industry and the

public service

4) present rates of pay and their payroll cost

5) immediate and ultimate cost of proposed pay levels.

does not

may be

5. is not

6. (1) efficiency of incumbent

(2) volume of work

(3) qualifications or prestige possessed by incumbent

(4) cost of living

(5) pay levels for similar work in private industry

(6) age, (7) marital status, (8) sex, (9) family of incumbent

(10) geographic location

7. (1) Uniform terms and titles for designating occupations and positions.

(2) Fiscal processes and budget control

a. Serves as a base for the pay plan

b. Is necessary to put into effect the principle of equal pay for equal work.

c. Avoids "pressure" groups that get special pay consideration for particular employee groups

d. Avoids underpayment and overpayment

e. Avoids waste of public funds

f. Avoids injustices to, and discrimination among, employees

g. Aids in preparation and presentation of informative budgets

h. Uniform, defined terminology affords a means of control to assure that salaries appropriated will be paid for the kind of services contemplated.

(3) Personnel administration

a. Facilitates recruiting, testing, and certification activities.

b. Facilitates promotion and transfer transactions.

c. Aids in evaluating performance of employees

d. Promotes good employee-management relations.

e. Facilitates wage and salary surveys.

(4) General administration

aids in planning, clarifying, and improving organization.

5. (1) To define the kind of work, the range and level of difficulty of work and the qualification requirements of positions in each class.

(2) To serve as usable guide in the allocation of individual positions to classes.

(3) To define and standardize the various class titles. That is, the titles have meaning only as defined in the standard, so that the standards serve as a dictionary of class titles.

(4) To serve as a convenient record of the basic characteristics of the classes, currently maintained so as to be useful for all personnel and administrative purposes.

9. (1) Class title - a brief descriptive name given to identify a class of positions and all positions in the class.

(2) General statement of duties and responsibilities typical of the class - the preponderant and characteristic duties of positions in the class.

(3) Illustrative examples of work or typical tasks performed

in the positions in the class. The purposes of the illustrative examples are (a) to amplify the statement of duties and responsibilities so that allocation of positions to classes may be made positively and definitely and (b) to illustrate and interpret the differentiating factors indicated in more or less general language in the statement of duties and responsibilities.

(4) Statement of minimum qualifications - lowest acceptable requirements as to education, experience, special skills or apitudes, without which no person will be considered for a position in the class.

10. (1) Determine purpose and uses of the classification

(2) Define clearly the basis for classification

(3) Segregate the given set of objects or qualities into classes on the basis of similarities and material differences.

(4) Give each class a distinctive name

(5) Define each in writing so as to indicate its content and boundaries

NATIONAL PERSONNEL AUTHORITY

ADVANCED COURSE IN POSITION-CLASSIFICATION

FINAL EXAMINATION

PART I - TRUE - FALSE TEST

Study each of the following statements and decide whether it is true or false. If the statement is true, write the word "true" in the blank following the statement. If the statement is false, write the word "false" in the blank.

Example: The first statement is true. Therefore, the word "true" has been written in the blank following this statement.

1. The National Public Service Law specifies that the National Personnel Authority shall develop a position-classification plan for the Japanese National Government. True

2. Although position descriptions and class descriptions are both utilized in the allocation of positions to classes, they are very different in form, content, and purpose. _____

3. "Administrative supervision" involves supervision of the employee's time and general procedures and conduct in relation to the rules,

regulations, and broad plans of organization and has little effect on the allocation of the position. _____

4. A position-classification plan may exist without grades _____

5. The most difficult determination to make in the process of allocating a position is to distinguish the kind of work. _____

6. One purpose of a position-classification survey is to evaluate the efficiency of employees. _____

7. The position-classification plan must be amended with every major change in the compensation plan. _____

8. In determining the class to which any position should be allocated, the description for each class should be considered as a whole. _____

9. Upon being allocated to a class, a position is automatically given the title of the class. _____

10. The use of a position-description form in classifying positions eliminates the necessity of work audits. _____

11. Grade definitions should be prepared prior to the development of a position-classification plan. _____

12. Two positions should be allocated to the same class if both incumbents

are chiefs of sections in the same bureau or ministry. _____

13. A position-classification plan establishes the salary scale for each class and consequently for each position in the class. _____

14. Qualification requirements of a position should never be used as the sole allocation guide. _____

15. In order to put the employee's mind at ease, the position classifier should state his tentative conclusion regarding the proper allocation of the position at the conclusion of the work audit. _____

16. A good position-classification plan does not permit an administrative officer to change an employee's duties and responsibilities materially after his position has once been classified. _____

17. Position analysis is essentially an analysis of the position in terms of market price. _____

18. A class title indicates both the kind and level of work of the class. _____

19. Variety and scope are important allocation factors in a position even though each duty or problem is itself of a limited degree of difficulty. _____

20. Qualification requirements as an allocation factor are of little assistance in allocating vacant positions because there is no incumbent whose qualifications may be studied. ____

21. An incumbent may occasionally be expected to perform duties not specifically stated in the position description. ____

22. Titles of classes of equivalent rank in different fields of work should customarily have the same modifying adjective or symbol. ____

23. There are as many classes of positions as there are distinct kinds of positions. ____

24. Only those duties should be listed in a class description which are common to all positions properly allocable to the class. ____

25. Where no position-classification plan exists, salaries of positions may be used as a good index of the level of the duties and responsibilities. ____

26. Analyzing the facts about a position is the measuring and weighing of the essential duties and responsibilities of a position or a class in terms of allocation factors against class descriptions, if available, or against other classes. ____

27. The general rule for allocating mixed positions is that the highest type of duty performed governs the allocation. _____

28. If a question arises as to whether certain positions should be grouped in the same class, the basic criterion is whether the same salary scale would apply to them equitably. _____

29. During a position-classification survey prior to the development of a position-classification plan information should be obtained regarding the qualifications of the incumbents and the opinions of supervisors as to minimum qualification requirements for the positions. _____

30. All classes within a series of classes are given the same title. _____

31. Position classifiers should get the facts on a particular position by conducting an interview or work audit after studying organizational data, the occupational area involved, pertinent allocation factors, and arriving at a tentative conclusion as to the proper allocation. _____

32. For use during an original position-classification survey it is more practical to use a general questionnaire than a specialized questionnaire. _____

33. In allocating a border-line position consideration should be given to the effect of its allocation upon the allocation of other positions having similar but slightly different characteristics. _____

34. Changes in a position may result from the abilities or deficiencies of the incumbent. _____

35. The minimum qualifications in a class description indicate that persons who lack those qualifications are unlikely to be able to perform the duties of the job successfully. _____

36. The National Public Service Law specifies that all positions in the Japanese National Government are to be covered under the position-classification plan. _____

37. It is usually advisable to have the operating officials review some or all of the class descriptions for content while in course of preparation. _____

38. The position classifier sets up positions so as to produce an efficient organization. _____

39. A class may contain one position or hundreds of positions. _____

40. The pay level for similar work in private industry should be considered at the time a class is allocated to the grade. _____

41. Grade definitions should be prepared prior to the allocation of classes to grades. _____

42. All positions having a variety of duties are called mixed positions. _____

PART II - MULTIPLE CHOICE TEST

For the following questions you are given a choice of five answers. Choose the one correct answer to each question and write the number of the answer in the blank following the question.

Example: The correct answer to the first question, "When should an employee's position be considered for a change in allocation?" is answer #1, "When there is a permanent change in his duties and responsibilities". Therefore, the number "1" has been written in the blank following the question.

1. When should an employee's position be considered for a change in allocation?

   (1) When there is a permanent change in his duties and responsibilites. (2) When he has completed his probation period. (3) When more people are to be employed in the office. (4) When he has shown efficiency in the performance of his duties. (5) When his work has becometoo routinised. 1

2. Which one of the following should prepare the position description?

   (1) Position classifier. (2) Immediate supervisor. (3) Incumbent of the position. (4) Chief, Secretariat Section. (5) Personnel Officer.

   ~~(6) Vice Minister~~ _____

3. Which one of the following considerations is least important in the allocation of positions by a position classifier?

(1) The type of work or field of activity. (2) The kind and degree of supervision involved. (3) Physical conditions under which the work is performed. (4) The responsibilities, other than supervisory, involved. (5) The difficulty and complexity of the work. _____

4. Which of the following items gives the basic difference between two classes in the same series?

(1) Number of employees supervised. (2) Degree or level of difficulty and responsibility of work. (3) Person-to-person contacts. (4) Kind of work. (5) Organizational position of work. _____

5. In the sorting of positions into occupational groups, attention is paid to which one of the following factors?

(1) Difficulty of the duties. (2) Responsibility given the incumbent. (3) Organizational location. (4) Specialized kind of work. (5) Related professions, trades, or other kinds of work. _____

6. Four of the following are essential characteristics of a position. Which one is the exception?

(1) It is a specific office or employment. (2) It has a specific organisational location. (3) Its duties and responsibilities must be assigned by competent authority. (4) It must have an incumbent. (5) It can be occupied by only one person at any given time. _____

7. Four of the following are important considerations in classifying a position. Which one is the exception?

(1) The character or kind of work to be performed. (2) The responsibilities imposed. (3) The qualifications required for the given positions. (4) The relationships between positions of the same general character but of different levels of difficulty. (5) The difficulty of securing qualified personnel at the salary the jurisdiction is able to pay. _____

8. Which one of the following is <u>not</u> a step in the development of a position-classification plan?

(1) Writing descriptions of each class. (2) Analyzing individual positions. (3) Allocating positions to classes. (4) Establishing

appropriate pay scales for each class. (5) Grouping positions into classes.

9. Which of the following possible methods of securing information about the duties and responsibilities of positions is the least expensive and most satisfactory in an original survey?

(1) Interviews with employees and supervisors and observation of the work by a trained position classifier. (2) A combination of work audits and general position-description questionnaires. (3) Specialized position-description questionnaires. (4) Study of organization and functional charts. (5) A combination of work audits and specialized position-description questionnaires.

10. Which one of the following conditions is essential to the allocation of two classes to the same grade?

(1) Both have the same educational requirements. (2) The same tests of fitness can appropriately be applied to both. (3) The length of the probationary period is the same for both. (4) The duties are at the same level of difficulty for both. (5) The degree of technical proficiency required is the same for both.

11. In the absence of a position-classification plan, which of the following conditions is most likely to prevail?

(1) Equal pay for the same kind and level of work. (2) A definite system of classes and class titles. (3) Compensation based on an individual's qualifications. (4) A uniform position terminology. (5) Recruitment for classes rather than for individual positions. _____

12. Which one of the following descriptions of the same task is the best for position classification purposes?

(1) "Types letters from rough draft and files copies in alphabetical and subject files; posts invoice costs to twelve accounts." (2) "Handles correspondence and filing; keeps accounts." (3) "Answers letters and sends copies to file; makes journal entries." (4) "Types correspondence and makes file copy for files; posts costs to books." (5) "Types letters from rough draft; files copies in dual filing system; keeps books." _____

13. Arrange the following in the order in which positions are grouped during the development of a position-classification plan: class, grade, occupational group, service, series of classes.

1. _____

2. _____

3. _____

4. _____

5. _____

14. You are asked to determine the proper allocation of a mixed position consisting of five different specialized kinds of work. You are given the following information about the duties. What series and class grade do you recommend?

Series of Classes	Class Grade	% of time
A	6	50%
B	5	25%
C	7	10%
D	6	10%
E	4	5%

Series _____

Class Grade _____

PART III - DEFINITIONS OF CLASSIFICATION TERMS

Match the classification terms in the right column with their proper definitions by writing the letter of the appropriate classification term in the blank space before the definition. Note that there are more classification terms than definitions.

Definitions	Classification Terms
_____ 1. A group of individual positions sufficiently alike in duties, responsibilities, and consequent qualification requirements that the same tests of fitness may be used to choose qualified appointees and that the same schedule of compensation may be applied with equity under the same or substantially the same employment conditions.	a. Allocation b. Reallocation c. Position d. Mixed Position e. New Position f. Vacant Position g. Class of Positions h. Classification Grade
_____ 2. The process of identifying the class to which any position belongs and the designation of a position by competent authority as being of a specific class.	i. Series of Classes j. Service k. Occupational Group l. Position Analysis m. Position Evaluation

_____ 3. The broadest grouping of related offices and employments under a classification plan.

_____ 4. A position constituted of duties that vary with time and are of different levels of difficulty or materially different kinds of work, where it is impracticable to allocate the position upward or downward from time to time to conform to such variations.

_____ 5. A responsibility for the performance of a task which the employee will carry out himself.

_____ 6. A position which has not been previously allocated and carried on the records as a currently existing position.

_____ 7. A group of two or more classes of positions closely similar as to kind of work but differing in responsibility and difficulty, which constitute steps in a normal line of promotion.

n. Position Classification Plan

o. Classification Survey

p. Occupational Survey

q. Organization Survey

r. Responsibility

s. Non-supervisory responsibility

t. Administrative responsibility

_____ 8. An organized and coordinated series of work-audits in which the individual positions are studied at the same time, instead of intermittently at different times.

_____ 9. A second or subsequent allocation of a position, the duties and responsibilities of which have not materially changed since it was last allocated.

_____ 10. A major subdivision of the classification scheme, embracing generally all series of classes in associated or related occupations, professions, or activities.

_____ 11. The critical examination of classification facts and their interpretation in terms of allocation factors.

_____ 12. A zone of difficulty and responsibility of work including one or more classes of positions for which comparable basic qualifications and compensation are prescribed.

PART IV - ILLUSTRATIVE CASES

READ ALL THE INSTRUCTIONS BEFORE YOU BEGIN TO ANSWER THIS QUESTION.

There are listed 15 reasons that are sometimes given for requests for allocation of positions to higher or lower classes.

1. Overtime work
2. Efficiency of incumbent
3. Volume of work
4. Same title
5. Temporary detail to higher-level duties
6. Length of service
7. Difficulty and complexity of work
8. Qualifications of incumbent
9. Education of incumbent
10. Pay level in private industry for similar work
11. Marital status
12. Supervisory control exercised over the position
13. Working conditions
14. Grade of incumbent's former position
15. Cost of living.

There are given below 12 cases in which requests are made for allocation of positions to higher or lower classes. In some instances the reason for the request is an allocation factor that should be considered in the allocation of the position. In other cases it is not.

Example: Read the first case carefully. The reason for the request is "length of service". The number of "length of service" in the list given above

is number "6". Accordingly, the number "6" has been written in the space following "Reason for request". As "Length of service" is not an allocation factor, the word "no" has been written in the space after the question, "Is the reason for request an allocation factor?"

1. Mrs. Watanabe is a charwoman in the Ministry of Finance. She has given fifteen years of faithful service and has been in the top pay step of her grade for three years. Mrs. Watanabe thinks it unfair that charwomen who have been appointed in the last few years should receive increases in pay periodically while she cannot receive any additional salary. Her supervisor asks the NPA classifier to reallocate her position to a higher class so that she can receive an increase in pay.

Reason for request: 6

Is the reason for request an allocation factor? No

2. Mr. Shirai and Mr. Kuroyama occupy typesetter positions in the Cabinet Printing Bureau. When a typesetting contest was held at the shop, Mr. Shirai won first place. He also normally produces a great deal more work than does Mr. Kuroyama. Mr. Shirai thinks that his position should be

allocated higher than Mr. Kuroyama's position.

Reason for request:

Is the reason for request an allocation factor?____

3. The Chief of the Accounting Section, Ministry of Construction, has appealed to the National Personnel Authority and requested that the allocation of his position be reviewed. He gave as his reason that the position of Chief, Accounting Section, Economic Stabilization Board, carries a higher grade than his position although the titles are the same.

Reason for request:

Is the reason for request an allocation factor?____

4. Mr. Narumi serves as a messenger for a bureau chief. He rarely leaves the office before six o'clock because the bureau chief normally works late. The other messengers leave the office at four o'clock. The duties and responsibilities are similar. Should Mr. Narumi's position be allocated at a higher level than the other messengers' positions?

Reason for request:

Is the reason for request an allocation factor?____

5. Mr. Sakano is employed as a clerk in the Labor Administration Bureau, Ministry of Labor. During a work audit he tells the N.P.A. position

classifier that he has been assigned the duties of making confidential investigations that require a great deal of resourcefulness and tact. Mr. Sakano's supervisor admitted that Mr. Sakano's statements were correct but insisted that the assignments were confidential and therefore could not be recognized because it would defeat the purpose of the assignment for the nature of Mr. Sakano's official duties to be made public.

Reason for request: _____

Is the reason for request an allocation factor? _____

6. Mr. Hattori is a translator engaged in translating from English into Japanese. He requires a great deal of instruction and help from his supervisor and completes a much smaller amount of work daily than do the other translators in the unit. The material assigned for translation is the same as that assigned to the other translators. The supervisor of the Translation Unit has asked that Mr. Hattori's position be reviewed and possibly allocated at a lower level.

Reason for request: _____

Is the reason for request an allocation factor? _____

7. Miss Shigemura, in reporting the duties of her position to the position classifier, called his attention to the extremely crowded office conditions. Miss Shigemura stated that the ventilation in the building is very poor and that on summer days the office is hot and uncomfortable. Also the supervisor does not permit morning and afternoon tea distribution as do the supervisors in the other offices in the building. Miss Shigemura thinks that these matters should be given consideration

Reason for request: _____

Is the reason for request an allocation factor?_____

8. Mr. Watanabe is serving as a telegrapher in the Ministry of Communications, Telegraph and Telephone Bureau. He now receives the salary of a third-class telegrapher. He studied diligently and passed the test for second-class telegrapher last month. Since there are no vacant positions of second-class telegraphers in that office, he has not been promoted to a higher position. Mr. Watanabe's supervisor wants to reallocate his present position to a higher class.

Reason for request: _____

Is the reason for request an allocation factor?_____

9. Miss Noguchi occupies a typist position and performs her duties efficiently. She is now at the highest pay step in the grade for typists. Her supervisor requests that her position be allocated at a higher level because private industry pays almost twice as much for the same sort of work.

Reason for request: _____

Is the reason for request an allocation factor? _____

10. There are two kinds of typist positions, English and Japanese. The class of positions involving use of a typewriter with Roman characters has been allocated to grade 5 while the class of positions involving use of a typewriter with Japanese characters has been allocated to grade 4. The employees using the typewriters with Japanese characters have presented a petition to N.P.A. requesting that positions involving use of typewriters using Japanese characters be allocated to a higher level because the typing techniques in Japanese are more difficult than those in English and require a longer training period.

Reason for request: _____

Is the reason for request an allocation factor? _____

11. Mr. Saiga, a guard in the Ministry of Transportation, is married and has four children. Mr. Toga, also a guard in the same unit, is a bachelor. Mr. Saiga and Mr. Toga are assigned similar duties. Their supervisor requests that Mr. Saiga's position be placed in a higher class than Mr. Toga's position because of his family responsibilities.

Reason for request: _____

Is the reason for request an allocation factor? _____

12. Mr. Kanno was an excellent locomotive engineer until he lost his leg in an accident. Then his supervisor gave him a watchman position in grade 3. The supervisor requests that the watchman position to which Mr. Kanno is assigned be reallocated to grade 7, the grade of his former position because of Mr. Kanno's former efficiency and long length of service and the fact that he was injured while on official duty.

Reason for request: _____

Is the reason for request an allocation factor? _____

PART V. CHARACTERISTICS OF GROUPS OF POSITIONS

There are given below a list of the 5 groups of positions as set up under some position-classification plans and a list of 14 statements of characteristics that apply to the positions of one or more of the various groups. Opposite each of the terms listed write the numbers of the characteristics given below that apply to the positions of each kind of group. Some characteristics are applicable to more than one group.

Example: Read the first statement carefully, "All positions have the same basic pay". All positions in a classification grade have the same basic pay; therefore, the number "1" has been written in the blank opposite classification grade. All positions in a class have the same basic pay; therefore, the number "1" has been written in the blank opposite class. The statement is not true for the other 3 terms.

Groups of Positions	Answers
a. Classification grade	1
b. Service	
c. Class	1
d. Occupational group	
e. Series of classes	

Statements of Characteristics of Positions

(1) All positions have the same basic pay.

(2) All positions use the same title.

(3) The same qualifications are required for all positions.

(4) All positions are similar as to level of difficulty and responsibility.

(5) Comparable levels of qualifications are required for all positions.

(6) All positions have identical duties and responsibilities.

(7) All positions are of the same occupational field.

(8) All positions are closely similar as to kind of work.

(9) All positions are closely similar as to kind of work but differ in difficulty and responsibility.

(10) All positions are of the same occupational field but may differ in regard to specialized type of work.

(11) The positions are grouped on the basis of kind of work only.

(12) The positions are grouped on the basis of level of work and kind of work.

(13) The positions are grouped on the basis of level of work only.

(14) The positions represent more than one occupation or profession.

PART VI. DEVELOPMENT OF POSITION-CLASSIFICATION PLAN

The development of a position-classification plan in a fairly large jurisdiction normally involves the procedures listed in the column on the right. The problem is to rearrange them in the chronological order in which they are logically performed.

Example: The first step in the development of a position-classification plan is "arranging questionnaires in organization order", which is lettered "e". Therefore, the letter "e" has been written in the blank after number "1" in the column on the left. Then find the procedure that would be the next step, and write its letter in the blank after number "2" and so on for all the steps.

Chronological order of performance	Procedures involved in the development of a position-classification plan
1. e	a. Writing class specifications
2. _____	b. Conducting work audits
3. _____	c. Preparing personnel and organization charts
4. _____	d. Drafting code of rules for the installation and administration of the plan.
5. _____	e. Arranging questionnaires in organization order.
6. _____	
7. _____	

8. _____

9. _____

10. _____

11. _____

12. _____

13. _____

14. _____

15. _____

f. Determining classes tentatively

g. Adopting the position-classification plan.

h. Analysing positions

i. Obtaining final criticism and adjusting disagreements.

j. Selecting class titles

k. Arranging questionnaires occupationally, that is, by occupational groups and series of classes.

l. Determining relationships among classes

m. Revising classes, class titles, allocation of positions to classes, and working definitions of classes.

n. Preparing working definitions of classes.

o. Allocating positions to classes tentatively.

PART VII - BASIC STEPS IN ALLOCATION PROCESS

The three basic steps in the allocation process are: Getting the Facts, Analysing the Facts, and Evaluating the Facts. In the column at the left are listed some important sources or procedures which must be utilized in order to complete the allocation process. The problem is to associate the items in the left column with the related basic step given at the right.

Example: Item number "1" , "Incumbent of position" is an important source of facts. Accordingly the number "1" has been written in the blank to the right of "Getting the Facts".

Sources of Procedures	Basic Steps
1. Incumbent of position	A. Getting the Facts
2. Laws	1
3. Determining major and minor duties and responsibilities	
4. Determining the occupational group	B. Analysing the Facts
5. Rules and Regulations	
6. Determining the class of positions	C. Evaluating the Facts
7. Making a tentative determination as to which allocation factors are significant	
8. Comparison with general grade definitions	

9. Work audit

10. Determining the series of classes

11. Consultation with subject matter specialists

12. Position-description questionnaire

13. Occupational data

14. Comparison with class descriptions

15. Position-to-position comparison

16. Organization charts

17. Breaking down factual information under the allocation factors

NATIONAL PERSONNEL AUTHORITY

ADVANCED COURSE IN POSITION-CLASSIFICATION

FINAL EXAMINATION - PART II

Instructions:

This test is designed to give you an opportunity to show what understanding you have of the administrative and technical problems involved in the development and administration of a position-classification plan. Many of these problems were not discussed directly during the training course. We want your ideas of what should be done, in accordance, of course, with the basic principles of position-classification. Because of the lack of adequate translation service, it is urged that the student organize his thoughts carefully and express them concisely.

1. From your knowledge of current personnel practices and problems which exist throughout the Japanese Government, which of these practices do you believe are contrary to the successful operation of a civil service system and which of the problems do you believe could be alleviated or resolved by the application of principles of position classification and the utilization of a position-classification plan? Discuss fully.

2. Assume that you have been made Chief of the Classification Section of the National Personnel Authority with a staff of 200 position classifiers. Outline your proposed organization and work program for the period covered by the preliminary steps and the conduct of the classification survey. Show the approximate amount of time to be spent on each phase of the program.

3. After the position-classification plan has been developed, how much responsibility and authority should be given to the ministries and agencies

for the allocation of positions and how much should be retained by the National Personnel Authority? Outline your proposal and give your reasons.

4. A position-classification plan includes a code of rules. List the matters pertaining to the installation and administration of the plan which you think should be covered by these rules.

5. During the development of a position-classification plan selected positions in the ministries and agencies are covered by work audits. In your opinion is it better to organize the classification staff and assign the work audits on an organizational or occupational basis? Discuss the advantages and disadvantages of each.

6. Position-classification plans may have (1) one set of classification grades; (2) a set of classification grades for each service; or (3) no classification grades. Give the advantages and disadvantages of each.

The Schedule of the 1st Advanced Training Course for Employee Evaluation Technicians in each Ministry

1. Period; From 24th to 28th April (for five days)
2. Place : The Training Institute of N.P.A. Nikko-machi, Tochigi-ken
3. Trainees; Employee evaluation technicians in each ministry (about 120 persons)
4. Schedule;

Date	Subject	Lecturer	Time
24th. April	Opening ceremony	G.H.Q. Official, Commissioner	9.00-9.30 a.m.
	Basic theories on employee evaluation	Mr. Ando	9.40-12.00 a.m.
	Explanation of the rule 10-2 of N.P.A.	Mr. Kanamori	1.00-3.00 p.m.
	Seminar	Each Faculty	3.10-5.00 p.m.
25th	Explanation of the regulation 10-2-1 (general provisions and evaluation of merits in performance)	Mr. Kanamori	8.30-11.00 a.m.
	Explanation of the regulation 10-2-1 (report on the work performance)	Mr. Hamamura	11.10-12.00 a.m.
	Explanation of the regulation 10-2-1 (evaluation for the period of the conditional appointment)	Mr. Watanabe	1.00-3.00 p.m.
	Seminar	Each Faculty	3.10-5.00 p.m.
26th.	Exercise of evaluation	Each Faculty	8.30-10.30 a.m.
	Methods of statistical analysis for the results of evaluation	Mr. Murayama	10.40-12.00 a.m. 1.00-5.00. p.m.
27th	Exercise of statistical analysis for the results of evaluation	Each faculty	8.30-12.00 am.

27th	Seminar	Each faculty	1.00-3.00 p.m.
	Recreation		3.10-5.00 p.m.
28th	Employee evaluation and personnel actions	Mr. Ando	8.30-10.00 a.m.
	Closing ceremony and tea party (dispersion)	Chief of Efficiency Bureau	10.10-12.30 a.m.