



A Classification Compliance Audit Report on

# **Information Technology Positions at Selected Public Safety and Criminal Justice Agencies**

October 2020

Report No. 21-702



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## Overall Conclusion

For the selected public safety and criminal justice agencies within Article V of the General Appropriations Act (86th Legislature), 522 employees<sup>1</sup> were identified as performing information technology work. Of those, 397 (76.1 percent) employees were correctly classified in accordance with the State's Position Classification Plan. Employees from the following five public safety and criminal justice agencies were included in testing:

- **Alcoholic Beverage Commission (Commission).** The Commission correctly classified 11 (84.6 percent) of the 13 employees classified in the Information Technology occupational category.
- **Department of Criminal Justice (Department).** The Department correctly classified 114 (65.1 percent) of the 175 employees classified in the Information Technology occupational category.
- **Juvenile Justice Department (Department).** The Department correctly classified 9 (34.6 percent) of the 26 employees classified in the Information Technology occupational category.
- **Military Department (Department).** The Department correctly classified 17 (63.0 percent) of the 27 employees classified in the Information Technology occupational category.
- **Department of Public Safety (Department).** The Department correctly classified 246 (87.5 percent) of the 281 employees classified in the Information Technology occupational category.

### Position Classification Plan Definitions

**Occupational Category** - A broad series of job families characterized by the nature of work performed. Currently, the State's Position Classification Plan covers 27 occupational categories (for example, Social Services and Information Technology).

**Job Classification Series** - A hierarchical structure of jobs arranged into job classification titles involving work of the same nature but requiring different levels of responsibility.

**Job Classification Title** - An individual job within a job classification series. Each job classification title has a corresponding salary group assignment appropriate for the type and level of work being performed (for example, Programmer III).

**Reclassification** - The act of changing a position from one job classification to another job classification that better reflects the level or type of work being performed.

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<sup>1</sup> This included employees who had job classification titles located in the Information Technology occupational category within the State's Position Classification Plan. Also included in this audit were employees identified as performing work related to information technology but had job classification titles located in another occupational category. Those employees were at the Department of Criminal Justice and the Military Department.

The agencies have taken or asserted they will take action to address the 125 total misclassifications by:

- Reclassifying 99 employees (79.2 percent) into a different job classification series. For example, to correct 1 misclassification, an agency reclassified a Systems Support Specialist to a Programmer. Included in the 99 employees is 1 employee who separated from an agency prior to a reclassification.
- Reclassifying 19 employees (15.2 percent) within the same job classification series but at a higher salary group.
- Reclassifying 2 employees (1.6 percent) within the same job classification series but at a lower salary group.
- Changing the job duties of 5 employees (4.0 percent) so the employees could remain in their current job classification title and be properly classified.

These actions will occur in accordance with Texas Government Code, Chapter 654. See Appendix 3 for more information on how to address misclassifications.

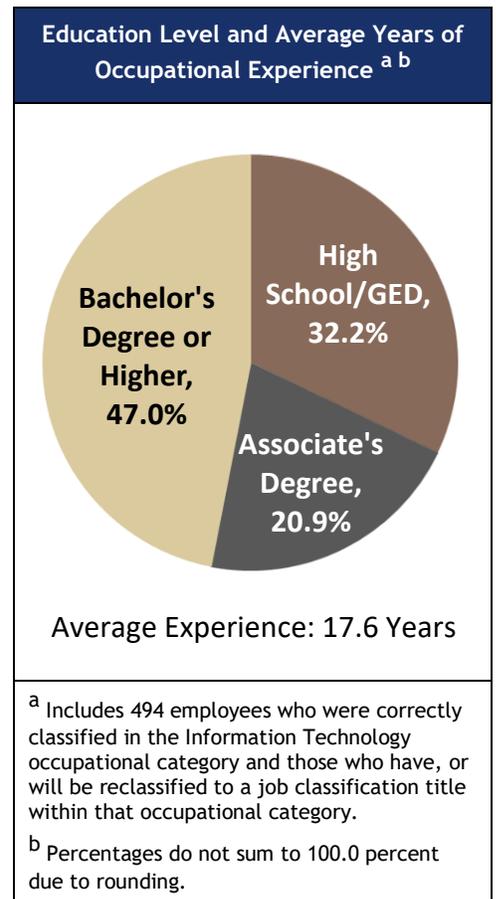
Collectively, the Alcoholic Beverage Commission, Department of Criminal Justice, Juvenile Justice Department, and the Military Department reported they will spend approximately \$170,376 annually to properly classify and compensate 29 of the 125 employees. The agencies reported that no employee received a salary decrease as a result of this audit.

Overall, employees performing information technology work at those five agencies are an experienced group of professionals, with an average of approximately 17.6 years of occupational experience. A total of 47.0 percent have a bachelor’s degree or higher. See Figure 1 for details.

Table 1 on the next page presents a summary of the findings in this report and the related issue ratings. (See Appendix 2 for more information about the issue rating classifications and descriptions.)

The agencies self-reported the classification information on which this audit focused. However, auditors performed certain quality control procedures to help ensure the accuracy of the information used.

Figure 1



Source: Classification Compliance Audit System, State Auditor’s Office.

Table 1

Summary of Chapters/Subchapters and Related Issue Ratings		
Chapter/ Subchapter	Title	Issue Rating <sup>a</sup>
1	Information Technology Positions at State Agencies	Not Rated
2-A	Analysis of Misclassified Employees at the Alcoholic Beverage Commission	Low
2-B	Analysis of Misclassified Employees at the Department of Criminal Justice	High
2-C	Analysis of Misclassified Employees at the Juvenile Justice Department	High
2-D	Analysis of Misclassified Employees at the Military Department	Medium
2-E	Analysis of Misclassified Employees at the Department of Public Safety	Low

<sup>a</sup> For the purposes of this audit, some of the factors considered to help determine the issue rating included percent of correctly classified employees, required salary increases associated with the reclassifications, and the timeliness of action to address the misclassifications. Another factor is the type and degree of misclassification; for example, an employee who is classified in an incorrect job classification series or an incorrect occupational category.

A chapter/subchapter is rated **Priority** if the issues identified present risks or effects that if not addressed could critically affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Immediate action is required to address the noted concern and reduce risks to the audited entity.

A chapter/subchapter is rated **High** if the issues identified present risks or effects that if not addressed could substantially affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Prompt action is essential to address the noted concern and reduce risks to the audited entity.

A chapter/subchapter is rated **Medium** if the issues identified present risks or effects that if not addressed could moderately affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Action is needed to address the noted concern and reduce risks to a more desirable level.

A chapter/subchapter is rated **Low** if the audit identified strengths that support the audited entity's ability to administer the program(s)/function(s) audited or the issues identified do not present significant risks or effects that would negatively affect the audited entity's ability to effectively administer the program(s)/function(s) audited.

## ***Summary of Management's Response***

At the end of subchapters 2-B and 2-E, the State Auditor's Office made recommendations to address the misclassifications identified during this audit. The Department of Criminal Justice and the Department of Public Safety agreed with the recommendations.

## ***Audit Objective and Scope***

The objective of this classification compliance audit was to determine whether selected state agencies are properly classifying employees in conformance with the State's Position Classification Plan, and complying with related laws, policies, and procedures.

The scope<sup>2</sup> of this audit included 522 employees within the Information Technology occupational category or performing information technology-related work at five public safety and criminal justice agencies (Article V of the General Appropriations

<sup>2</sup> The scope may exclude employees who were on extended leave, were promoted, or who left the agency during audit fieldwork.

Act, 86th Legislature) as of December 1, 2019. The state agencies audited were the Alcoholic Beverage Commission, Department of Criminal Justice, Juvenile Justice Department, Military Department, and Department of Public Safety.

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# Detailed Results

## Chapter 1

### Information Technology Positions at State Agencies

#### Job Outlook

According to the United States Bureau of Labor Statistics (BLS), employment in information technology occupations is projected to grow 12 percent from 2018 to 2028, faster than the average for all occupations. This is attributed, in part, to a greater emphasis on cloud computing, the collection and storage of big data, and information security, causing jobs such as cybersecurity and information security analysts to grow by a projected 32 percent during that same time period.

Source:  
<https://www.bls.gov/ooh/computer-and-information-technology/home.htm>.

Information technology careers at state agencies cover a broad range of jobs. Employees who work in the information technology field perform duties such as analyzing and maintaining computer systems, computer programming, database administration, software development, preventing and detecting cybersecurity threats, and designing and maintaining websites. Employees performing this type of work may be classified in the systems support specialist, network specialist, programmer, database administrator, systems administrator, information technology security analyst, cybersecurity analyst, and web administrator job classification series. Those types of jobs and others in the information technology field may grow faster than other jobs at state agencies (see text box).

**Increase in Information Technology Employees at State Agencies.** In fiscal year 2019, the State employed 4,599 full-time and part-time classified employees in a job classification series within the Information Technology occupational category. The number of employees in this occupational category increased by 5.9 percent since fiscal year 2015. A total

of 14.0 percent<sup>3</sup> were employed at public safety and criminal justice agencies (Article V of the General Appropriations Act, 86th Legislature). Figure 2 shows the five-year trend of employees classified in the Information Technology occupational category.

In 2019, the two job classification series with the most employees in the Information Technology occupational category were Systems Analyst and Programmer. Those two job classification series comprised 53.8 percent (2,476) of the total number of full-time and part-time classified employees in information technology positions at state agencies.

Figure 2



Sources: Uniform Statewide Payroll/Personnel System, Human Resource Information System, and Standardized Payroll/Personnel Reporting System.

<sup>3</sup> The percentage is based on the number of employees in fiscal year 2019, which is not the same as the number of employees within the audit scope. The difference is attributed to various factors such as employee turnover and employees on extended leave.

## Analysis of Employees Classified in the Information Technology Occupational Category at Selected Public Safety and Criminal Justice Agencies

A total of 397 (76.1 percent) of the 522 employees tested at 5 public safety and criminal justice agencies (Article V of the General Appropriations Act, 86th Legislature) were correctly classified in accordance with the State’s Position Classification Plan. The agencies reported that of those 522 employees tested:

- 513 were in a job classification series that fell within the Information Technology occupational category.
- 9 were performing information technology-related work but were in a job classification series located within another occupational category.<sup>4</sup>

Table 2 summarizes by agency the number of misclassifications identified during this audit.

**Importance of Appropriate Job Classification**

Appropriate job classification is important in determining salary rates that are competitive for the work performed. If employees are classified in positions at too high of a level for the work they perform, state agencies may be paying the employees more than their job duties and responsibilities warrant. This can also create internal pay inequities within the agency. If employees are classified in positions at too low of a level for the work they perform, employees could be underpaid. This could result in higher turnover, which could be costly for the agencies in terms of hiring and training new staff or through lost productivity.

How employees are classified impacts the data in the Electronic Classification Analysis System (E-Class), which is a web-based application that is used to analyze statewide human resources data. For example, the information in E-Class is used in reports provided to the Legislature.

Table 2

Summary of Employees Tested by Agency				
Agency Name	Number of Employees Tested	Number of Misclassified Employees	Percent of Misclassified Employees	Percent of Correctly Classified Employees
Alcoholic Beverage Commission <sup>a</sup>	13	2	15.4%	84.6%
Department of Criminal Justice	175	61	34.9%	65.1%
Juvenile Justice Department <sup>a</sup>	26	17	65.4%	34.6%
Military Department <sup>a</sup>	27	10	37.0%	63.0%
Department of Public Safety	281	35	12.5%	87.5%
<b>Totals</b>	<b>522</b>	<b>125</b>	<b>23.9%</b>	<b>76.1%</b>
<sup>a</sup> The percent of misclassified employees may appear skewed for agencies that have fewer than 50 employees within the audit scope.				

<sup>4</sup> These employees were at the Department of Criminal Justice and the Military Department.

Agencies have taken or asserted they will take action to address misclassifications.

To address the misclassifications of the 125 employees, the agencies chose to:

- Reclassify 99 employees (79.2 percent) into a different job classification series. For example, to correct 1 misclassification, an agency reclassified a Systems Support Specialist to a Programmer. Included in the 99 employees is 1 employee who separated from an agency prior to a reclassification.
- Reclassify 19 employees (15.2 percent) within the same job classification series but at a higher salary group.
- Reclassify 2 employees (1.6 percent) within the same job classification series but at a lower salary group.<sup>5</sup>
- Change the job duties of 5 employees (4.0 percent) so the employees could remain in their current job classification title and be properly classified.

These actions will occur in accordance with Texas Government Code, Chapter 654. See Appendix 3 for more information on how agencies can address misclassifications.

Table 3 lists the job classification series included in this audit. The table also summarizes the number of misclassified employees in each job classification series within the Information Technology occupational category.

Table 3

Job Classification Series Tested		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Business Analyst	5	1
Business Continuity Coordinator	2	0
Computer Operations Specialist	3	3
Cybersecurity Analyst	8	2
Data Base Administrator	19	5
Data Officer	1	0
Geographic Information Specialist	4	1
Information Security Officer	1	0
Information Technology Auditor	10	0
Information Technology Security Analyst	14	1

<sup>5</sup> The agency reported that those employees did not receive a salary decrease as a result of this audit.

Job Classification Series Tested		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Network Specialist	103	55
Programmer	80	9
Systems Administrator	7	1
Systems Analyst	112	27
Systems Support Specialist	88	6
Telecommunications Specialist	48	12
Web Administrator	8	1
Other <sup>a</sup>	9	1
<b>Totals</b>	<b>522</b>	<b>125</b>

<sup>a</sup> Includes Program Supervisor and Project Manager job classification series, which are in occupational categories other than Information Technology.

**Salaries will increase for 29 employees.** The Alcoholic Beverage Commission, Department of Criminal Justice, Juvenile Justice Department, and the Military Department reported they will spend a total of \$170,376<sup>6</sup> annually to properly classify and compensate 29 of the 125 misclassified employees. Individual salary increases for employees range from \$244 to \$13,583 annually. However, in most cases, the agencies have asserted they will be able to properly classify employees through reclassification without changing employees' salaries.

**Information Technology experience and education levels vary at the Article V agencies.** Experience and education levels vary across agencies for the employees<sup>7</sup> within the scope of this audit who were performing information technology work and were or will be classified in a job classification series located in the Information Technology occupational category. Specifically:

- Employees had an average of 17.6 years of occupational experience.
- A total of 47.0 percent had a bachelor's degree or higher level degree.

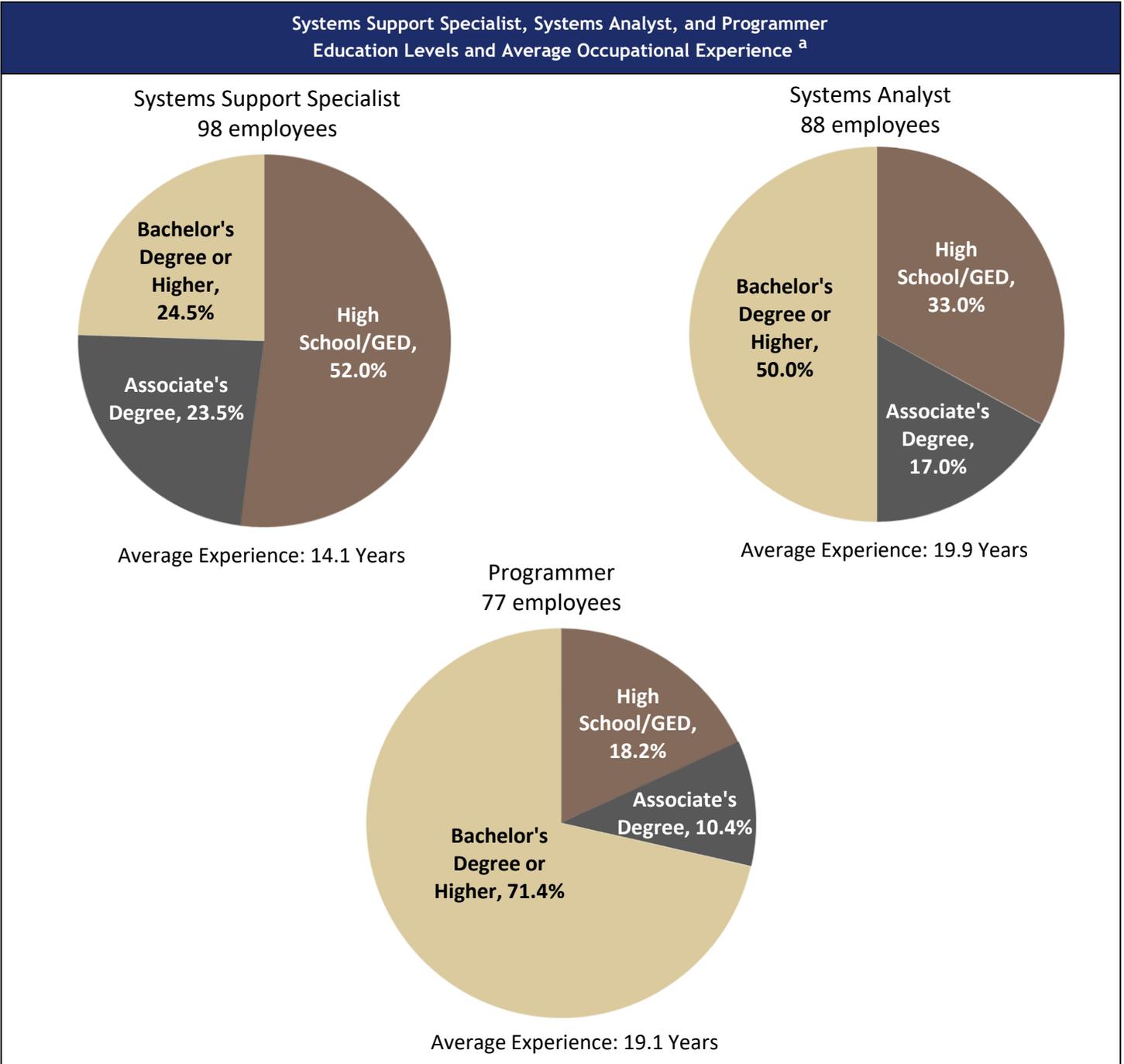
At the Article V agencies, the three largest job classification series in the Information Technology occupational category were Systems Support Specialist, Systems Analyst, and Programmer. On average, employees in those three job classification series had more than 17.5 years of occupational experience. Most of the Systems Analysts and Programmers had a bachelor's

<sup>6</sup> This cost includes increasing salaries to at least the minimum of the new salary group.

<sup>7</sup> Education and experience information is based on 494 employees who were or will be correctly classified in an information technology job classification title after reclassifications are complete and excludes 28 employees who were or will be classified into a job classification series that is not within the Information Technology occupational category.

degree or higher, while more than half of the Systems Support Specialists only had a High School Diploma/GED. Figure 3 provides additional information on the average years of experience and education levels as reported by employees.

Figure 3



<sup>a</sup> Includes employees correctly classified as a Systems Support Specialist, Systems Analyst, or Programmer and those who were, or will be, reclassified into one of these job classification series.

Source: Classification Compliance Audit System, State Auditor's Office.

## Analysis of Misclassified Employees at the Alcoholic Beverage Commission

Chapter 2-A  
Rating:  
Low <sup>8</sup>

The Alcoholic Beverage Commission (Commission) identified 13 employees who were classified in the Information Technology occupational category; 11 (84.6 percent) of those employees were correctly classified in accordance with the State's Position Classification Plan. The two misclassified employees were performing duties that did not align with their current job classification series. For example, an employee classified as a Systems Support Specialist was performing the job duties consistent with those of a Programmer.

Table 4 shows the number of those employees tested by job classification series, as well as the number of misclassified employees.

### Position Classification Plan Definitions

**Occupational Category** - A broad series of job families characterized by the nature of work performed. Currently, the State's Position Classification Plan covers 27 occupational categories (for example, Social Services and Information Technology).

**Job Classification Series** - A hierarchical structure of jobs arranged into job classification titles involving work of the same nature but requiring different levels of responsibility.

**Job Classification Title** - An individual job within a job classification series. Each job classification title has a corresponding salary group assignment appropriate for the type and level of work being performed (for example, Programmer III).

**Reclassification** - The act of changing a position from one job classification to another job classification that better reflects the level or type of work being performed.

Table 4

Summary of Employees Tested by Job Classification Series at the Commission		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Business Analyst	1	1
Data Base Administrator	1	0
Information Security Officer	1	0
Network Specialist	4	0
Programmer	3	0
Systems Support Specialist	2	1
Web Administrator	1	0
<b>Totals</b>	<b>13</b>	<b>2</b>

The Commission took appropriate action to reclassify the two employees into different job classification series that are consistent with their actual job duties. One employee received an annual salary increase of \$3,546.

<sup>8</sup> The risk related to the issues discussed in Chapter 2-A is rated as Low because the audit identified strengths that support the audited entity's ability to administer the program(s)/function(s) audited or the issues identified do not present significant risks or effects that would negatively affect the audited entity's ability to effectively administer the program(s)/function(s) audited.

## Analysis of Misclassified Employees at the Department of Criminal Justice

Chapter 2-B  
Rating:  
High <sup>9</sup>

The Department of Criminal Justice (Department) identified 175 employees who were classified within the Information Technology occupational category or performing information technology-related work.<sup>10</sup> Of the 175 employees, 114 (65.1 percent) were correctly classified in accordance with the State's Position Classification Plan. However, for the 61 misclassified employees, the following was noted:

- The majority (72.1 percent) of the 61 misclassified employees were in an incorrect job classification series, including 10 employees who were also in an incorrect occupational category. For example, two employees will be reclassified from Computer Operations Specialist to Accounting Technician. The Accounting Technician job classification series is in the Accounting, Auditing, and Finance occupational category and not the Information Technology occupational category.
- 34.4 percent of the misclassified employees will receive salary increases totaling \$144,752 annually, to bring their salaries up to at least the minimum of the new salary group.

### Position Classification Plan Definitions

**Occupational Category** - A broad series of job families characterized by the nature of work performed. Currently, the State's Position Classification Plan covers 27 occupational categories (for example, Social Services and Information Technology).

**Job Classification Series** - A hierarchical structure of jobs arranged into job classification titles involving work of the same nature but requiring different levels of responsibility.

**Job Classification Title** - An individual job within a job classification series. Each job classification title has a corresponding salary group assignment appropriate for the type and level of work being performed (for example, Programmer III).

**Reclassification** - The act of changing a position from one job classification to another job classification that better reflects the level or type of work being performed.

Table 5 on the next page shows the number of the employees tested by job classification series, as well as the number of misclassified employees.

<sup>9</sup> The risk related to the issues discussed in Chapter 2-B is rated as High because the issues identified present risks or effects that if not addressed could substantially affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Prompt action is essential to address the noted concern(s) and reduce risks to the audited entity.

<sup>10</sup> During the course of this audit, the Department identified employees who were performing information technology-related work but were in a job classification series located in the Program Management occupational category. For the purposes of this audit, those employees were included in testing.

Table 5

Summary of Employees Tested by Job Classification Series at the Department		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Business Analyst	2	0
Business Continuity Coordinator	1	0
Computer Operations Specialist	2	2
Data Base Administrator	4	2
Information Technology Security Analyst	2	0
Network Specialist	34	21
Programmer	38	6
Project Manager	7	0
Systems Analyst	20	17
Systems Support Specialist	48	4
Telecommunications Specialist	13	8
Web Administrator	4	1
<b>Totals</b>	<b>175</b>	<b>61</b>

The Department asserted that it will take appropriate action to address the 61 misclassified employees. Specifically, the Department will:

- Reclassify 44 employees into a different job classification series.
- Reclassify 13 employees within the same job classification series but at a higher salary group.
- Change the job duties of 4 employees so the employees could remain in their current job classification title and be properly classified.

The Department asserted that 23 employees will receive an annual salary increase ranging from \$1,584 to \$13,583 as a result of the reclassifications, for a total annual cost of \$144,752.

**Recommendation**

To comply with the State’s Position Classification Plan, the Department should complete all reclassifications and salary adjustments for the misclassified employees.

## **Management's Response**

*The Texas Department of Criminal Justice (TDCJ) management agrees with the recommendations made by the State Auditor's Office for reclassification of its misclassified Information Technology positions. For the positions identified as misclassified, the agency will:*

- *Reclassify 44 employees into a different job classification series.*
- *Reclassify 13 employees within the same job classification series.*
- *Change the job duties of 4 employees so the employees can remain in their current job classification title and still be properly classified.*

*TDCJ appreciates the guidance provided by the State Auditor's Office's State Classification Team. As a result of the Classification Compliance Audit, misclassified Information Technology positions will now be correctly classified in accordance with the State's Position Classification Plan.*

*The Human Resources Division notified the division directors of the affected employees, so that the employees can be informed of their future reclassification. No employee will receive a decrease in pay as a result of the audit.*

*Person Responsible: Human Resources Division Director*

*Implementation date: 12/01/2020*

## Analysis of Misclassified Employees at the Juvenile Justice Department

Chapter 2-C  
Rating:  
High <sup>11</sup>

The Juvenile Justice Department (Department) identified 26 employees who were classified within the Information Technology occupational category. Of the 26 employees, 9 (34.6 percent) were correctly classified in accordance with the State's Position Classification Plan. Of the 17 misclassified employees, the following was noted:

- Sixteen (94.1 percent) of the 17 misclassified employees were in an incorrect job classification series, including one employee who was also in an incorrect occupational category. That employee will be reclassified from a Network Specialist to a Manager. The Manager job classification series is in the Program Management occupational category and not in the Information Technology occupational category.
- Two (11.8 percent) of the misclassified employees will require salary increases, totaling \$13,496 annually, to bring their salaries up to at least the minimum of the new salary group.

Table 6 on the next page shows the number of the employees tested by job classification series, as well as the number of misclassified employees.

### Position Classification Plan Definitions

**Occupational Category** - A broad series of job families characterized by the nature of work performed. Currently, the State's Position Classification Plan covers 27 occupational categories (for example, Social Services and Information Technology).

**Job Classification Series** - A hierarchical structure of jobs arranged into job classification titles involving work of the same nature but requiring different levels of responsibility.

**Job Classification Title** - An individual job within a job classification series. Each job classification title has a corresponding salary group assignment appropriate for the type and level of work being performed (for example, Programmer III).

**Reclassification** - The act of changing a position from one job classification to another job classification that better reflects the level or type of work being performed.

<sup>11</sup> The risk related to the issues discussed in Chapter 2-C is rated as High because the issues identified present risks or effects that if not addressed could substantially affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Prompt action is essential to address the noted concern(s) and reduce risks to the audited entity.

Table 6

Summary of Employees Tested by Job Classification Series at the Department		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Cybersecurity Analyst	1	1
Data Base Administrator	2	0
Information Technology Security Analyst	1	0
Network Specialist	15	15
Programmer	1	0
Systems Analyst	3	1
Systems Support Specialist	1	0
Telecommunications Specialist	1	0
Web Administrator	1	0
<b>Totals</b>	<b>26</b>	<b>17</b>

The Department took appropriate action to address 16 of the 17 misclassified employees. One of the 17 employees separated from the Department prior to the reclassification. For the remaining 16, the Department:

- Reclassified 15 employees into a different job classification series.
- Reclassified 1 employee within the same job classification series but at a higher salary group.

Two employees received annual salary increases of \$244 and \$13,252, respectively, for a total annual cost of \$13,496.

## Analysis of Misclassified Employees at the Military Department

**Chapter 2-D  
Rating:**  
Medium<sup>12</sup>

The Military Department (Department) identified 27 employees who were classified in the Information Technology occupational category or performing information technology-related work<sup>13</sup>; 17 (63.0 percent) of the 27 employees tested at the Department were correctly classified. Of the 10 misclassified employees, the following was noted:

- Half (50.0 percent) of the misclassified employees were in an incorrect job classification series, including two employees who were also in an incorrect occupational category. For example, one employee will be reclassified from a Program Supervisor to a Management Analyst. The Management Analyst job classification series is in the Information and Communication occupational category and not in the Information Technology occupational category.
- Although all of the misclassified employees' existing salaries were within the ranges of their new salary groups, the agency reported increases to some of the employees' salaries to maintain equity and competitiveness.<sup>14</sup>

Table 7 on the next page shows the number of those employees tested by job classification series, as well as the number of misclassified employees.

### Position Classification Plan Definitions

**Occupational Category** - A broad series of job families characterized by the nature of work performed. Currently, the State's Position Classification Plan covers 27 occupational categories (for example, Social Services and Information Technology).

**Job Classification Series** - A hierarchical structure of jobs arranged into job classification titles involving work of the same nature but requiring different levels of responsibility.

**Job Classification Title** - An individual job within a job classification series. Each job classification title has a corresponding salary group assignment appropriate for the type and level of work being performed (for example, Programmer III).

**Reclassification** - The act of changing a position from one job classification to another job classification that better reflects the level or type of work being performed.

<sup>12</sup> The risk related to the issues discussed in Chapter 2-D is rated as Medium because the issues identified present risks or effects that if not addressed could moderately affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Action is needed to address the noted concern(s) and reduce risks to a more desirable level.

<sup>13</sup> During the course of this audit, the Department identified employees who were performing information technology-related work but were in a job classification series located in the Program Management occupational category. For the purposes of this audit, those employees were included in testing.

<sup>14</sup> Agencies are authorized to do this under the *Reason Code Definitions and Restrictions for State Agencies Fiscal 2020-2021*, Office of the Comptroller of Public Accounts' website at [https://fmx.cpa.texas.gov/fmx/payper/reascode/20-21/ReasonCodeDefinitions\\_StateAgencies/001.php#reclasscodes](https://fmx.cpa.texas.gov/fmx/payper/reascode/20-21/ReasonCodeDefinitions_StateAgencies/001.php#reclasscodes).

Table 7

Summary of Employees Tested by Job Classification Series at the Department		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Computer Operations Specialist	1	1
Data Base Administrator	1	0
Geographic Information Specialist	1	1
Information Technology Security Analyst	1	0
Network Specialist	6	3
Program Supervisor	1	1
Programmer	3	3
Project Manager	1	0
Systems Administrator	1	0
Systems Analyst	3	1
Systems Support Specialist	6	0
Telecommunications Specialist	2	0
Web Administrator	0	0
<b>Totals</b>	<b>27</b>	<b>10</b>

The Department took appropriate action to address the 10 misclassified employees. Specifically, the Department:

- Reclassified 5 employees into a different job classification series.
- Reclassified 3 employees within the same job classification series but at a higher salary group.
- Reclassified 2 employees within the same job classification series but at a lower salary group; however, the employees did not receive a reduction in salary.

Three employees received annual salary increases ranging from \$1,400 to \$4,421, for a total annual cost of \$8,582.

## Analysis of Misclassified Employees at the Department of Public Safety

Chapter 2-E  
Rating:  
Low <sup>15</sup>

The Department of Public Safety (Department) identified 281 employees who were classified within the Information Technology occupational category. A total of 246 (87.5 percent) of the 281 employees tested at the Department were correctly classified.

The majority (91.4 percent) of the 35 misclassified employees were performing duties that did not align with their current classification series, including 6 employees who were also in an incorrect occupational category. For example, an employee classified as a Data Base Administrator was performing job duties consistent with those of a Data Analyst. The Data Analyst job classification series is in the Planning, Research, and Statistics occupational category and not the Information Technology occupational category.

### Position Classification Plan Definitions

**Occupational Category** - A broad series of job families characterized by the nature of work performed. Currently, the State's Position Classification Plan covers 27 occupational categories (for example, Social Services and Information Technology).

**Job Classification Series** - A hierarchical structure of jobs arranged into job classification titles involving work of the same nature but requiring different levels of responsibility.

**Job Classification Title** - An individual job within a job classification series. Each job classification title has a corresponding salary group assignment appropriate for the type and level of work being performed (for example, Programmer III).

**Reclassification** - The act of changing a position from one job classification to another job classification that better reflects the level or type of work being performed.

Table 8 shows the number of the employees tested by job classification series, as well as the number of misclassified employees.

Table 8

Summary of Employees Tested by Job Classification Series at the Department		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Business Analyst	2	0
Business Continuity Coordinator	1	0
Cybersecurity Analyst	7	1
Data Base Administrator	11	3
Data Officer	1	0
Geographic Information Specialist	3	0
Information Technology Auditor	10	0
Information Technology Security Analyst	10	1

<sup>15</sup> The risk related to the issues discussed in Chapter 2-E is rated as Low because the audit identified strengths that support the audited entity's ability to administer the program(s)/function(s) audited or the issues identified do not present significant risks or effects that would negatively affect the audited entity's ability to effectively administer the program(s)/function(s) audited.

Summary of Employees Tested by Job Classification Series at the Department		
Job Classification Series	Number of Employees Tested	Number of Misclassified Employees
Network Specialist	44	16
Programmer	35	0
Systems Administrator	6	1
Systems Analyst	86	8
Systems Support Specialist	31	1
Telecommunications Specialist	32	4
Web Administrator	2	0
<b>Totals</b>	<b>281</b>	<b>35</b>

The Department asserted that it will take appropriate action to address the 35 misclassified employees. Specifically, the Department will:

- Reclassify 32 employees into a different job classification series.
- Reclassify 2 employees within the same job classification series but at a higher salary group.
- Change the job duties of 1 employee so the employee could remain in their current job classification title and be properly classified.

No cost was associated with reclassifying the employees.

### Recommendation

To comply with the State’s Position Classification Plan, the Department should complete all reclassifications and salary adjustments for the misclassified employees.

### Management’s Response

*The Texas Department of Public Safety agrees with the final conclusions from the auditors. Based on these results, the Department completed the following actions as of August 1, 2020:*

- *Reclassified 32 employees into a different job classification series.*
- *Reclassified 2 employees within the same job classification series but at a higher salary group.*
- *Changed the job duties of 1 employee so the employee could remain in their current job classification title and be properly classified.*

- *No employee received a decrease in salary because of the audit.*

*Person Responsible: Human Resources Operations Division, HR Service Team Director*

*Completion Date: August 1, 2020*

# Appendices

Appendix 1

## **Objective, Scope, and Methodology**

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### **Objective**

The objective of this classification compliance audit was to determine whether selected state agencies are properly classifying employees in conformance with the State's Position Classification Plan, and complying with related laws, policies, and procedures.

### **Scope**

The scope<sup>16</sup> of this audit included 522 employees within the Information Technology occupational category or performing information technology-related work at five public safety and criminal justice agencies (Article V of the General Appropriations Act, 86th Legislature) as of December 1, 2019. The state agencies audited were the Alcoholic Beverage Commission, Department of Criminal Justice, Juvenile Justice Department, Military Department, and Department of Public Safety.

### **Methodology**

The audit methodology included collecting information and documentation, reviewing and analyzing surveys completed by employees at five state agencies and verified by their supervisors, and conducting interviews with management at the five state agencies.

The State Auditor's Office's State Classification Team evaluates jobs on a "whole job" basis to determine proper job classifications. The determinations are primarily based on a comparison of duties and responsibilities of the majority of work being performed against the state job descriptions.

When determining proper classification, the State Classification Team does not focus on specific differences between one level and the next level in a job classification series (for example, Systems Analyst I compared with Systems Analyst II). Instead, the State Classification Team considers whether an employee is appropriately classified within broad responsibility levels, such as Staff Systems Analyst (Systems Analyst I, Systems Analyst II, and Systems Analyst III positions) compared to Senior Systems Analyst (Systems

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<sup>16</sup> The scope may exclude employees who were on extended leave, were promoted, or who left the agency during audit fieldwork.

Analyst IV, Systems Analyst V, Systems Analyst VI, and Systems Analyst VII positions).

The State Classification Team used an automated job evaluation process and populated a database with information regarding the employees whose positions were tested. Staff at the five agencies verified the information to ensure that all employees within the audit scope were included. Employees at those agencies were then asked to complete online surveys describing the work they perform and the percentage of time they spend performing each of their duties. Supervisors were asked to review and verify employees' survey responses.

Completed survey results were entered into an automated job evaluation system, which made an initial determination of whether the employees were appropriately classified. The State Classification Team reviewed all surveys to determine and validate the proper classification of employees. The State Classification Team made follow-up calls or sent clarification emails to gather additional information to determine the proper classification of employees. Each agency then had the opportunity to review and address potential misclassifications.

#### **Data Reliability and Completeness**

Auditors determined that the data in the Classification Compliance Audit System was reliable for the purposes of this audit.

Information collected and reviewed included the following:

- Surveys completed by employees and verified by their supervisors.
- Correspondence from the human resources offices and supervisors at the five public safety and criminal justice agencies audited.

Procedures and tests conducted included the following:

- Performed follow-up calls and sent emails to the five agencies to validate proper classification of employees and to gather additional information to resolve discrepancies.

Criteria used included the following:

- Texas Government Code, Chapter 654.
- State job descriptions.

## Project Information

Audit fieldwork was conducted from November 2019 through August 2020. We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

The following members of the State Auditor's staff performed the audit:

- Lara Foronda Tai, PHR, SHRM-CP (Project Manager)
- J. Taylor Sams, CGAP, MBA
- Sharon Schneider, CCP, PHR, SHRM-CP
- Michelle Ann Duncan Feller, CPA, CIA (Quality Control Reviewer)
- Courtney Ambres-Wade, CFE, CGAP (Audit Manager)

## Issue Rating Classifications and Descriptions

Auditors used professional judgment and rated the audit findings identified in this report. Those issue ratings are summarized in the report chapters/subchapters. The issue ratings were determined based on the degree of risk or effect of the findings in relation to the audit objective(s).

In determining the ratings of audit findings, auditors considered factors such as financial impact; potential failure to meet program/function objectives; noncompliance with state statute(s), rules, regulations, and other requirements or criteria; and the inadequacy of the design and/or operating effectiveness of internal controls. In addition, evidence of potential fraud, waste, or abuse; significant control environment issues; and little to no corrective action for issues previously identified could increase the ratings for audit findings. Auditors also identified and considered other factors when appropriate.

Table 9 provides a description of the issue ratings presented in this report.

Table 9

Summary of Issue Ratings	
Issue Rating	Description of Rating
Low	The audit identified strengths that support the audited entity's ability to administer the program(s)/function(s) audited <u>or</u> the issues identified do not present significant risks or effects that would negatively affect the audited entity's ability to effectively administer the program(s)/function(s) audited.
Medium	Issues identified present risks or effects that if not addressed could <u>moderately affect</u> the audited entity's ability to effectively administer the program(s)/function(s) audited. Action is needed to address the noted concern(s) and reduce risks to a more desirable level.
High	Issues identified present risks or effects that if not addressed could <u>substantially affect</u> the audited entity's ability to effectively administer the program(s)/function(s) audited. Prompt action is essential to address the noted concern(s) and reduce risks to the audited entity.
Priority	Issues identified present risks or effects that if not addressed could <u>critically affect</u> the audited entity's ability to effectively administer the program(s)/function(s) audited. Immediate action is required to address the noted concern(s) and reduce risks to the audited entity.

## ***Excerpt from the Texas Government Code, Chapter 654***

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This audit was conducted in accordance with the Position Classification Act, Texas Government Code, Chapter 654, which is presented below.

### **Sec. 654.0156. RECLASSIFICATION.**

(a) An employing state entity subject to this chapter may reclassify a position to another title in the position classification plan:

- (1) in response to a classification review; or
- (2) as a result of a program reorganization by the administrative head of the employing state entity.

(b) The sole purpose of a reclassification is to properly classify a position and define its duties under this chapter based on the duties currently performed by an employee holding the reclassified position. A reclassification therefore does not indicate that the employee's assigned duties should or will be changed.

(c) A reclassification may take effect at any time.

### **Sec. 654.036. GENERAL DUTIES OF CLASSIFICATION OFFICER.**

The classification officer shall:

- (1) maintain and keep current the position classification plan;
- (2) advise and assist state agencies in equitably and uniformly applying the plan;
- (3) conduct classification compliance audits to ensure conformity with the plan; and
- (4) make recommendations that the classification officer finds necessary and desirable about the operation and for improvement of the plan to the governor and the legislature.

### **Sec. 654.038. CLASSIFICATION COMPLIANCE AUDITS; NOTIFICATION AND VOLUNTARY CORRECTION OF NONCONFORMITY.**

(a) The classification officer shall notify the governor, the comptroller, the Legislative Audit Committee, and the chief executive of the agency in writing when a classification compliance audit reveals nonconformity with the position classification plan or with prescribed salary ranges. The notification shall specify the points of nonconformity.

(b) The chief executive is entitled to a reasonable opportunity to resolve the nonconformity by:

- (1) reclassifying the employee to a position title or class consistent with the work performed;
  - (2) changing the employee's duties to conform to the assigned class;
- or
- (3) obtaining a new class description of work and salary range.

**Sec. 654.039. REPORT OF INACTION.**

The classification officer shall make a written report of the facts to the governor and the Legislative Budget Board if the chief executive of an agency does not comply with Section 654.038(b) before the 21st day after the date of the classification officer's written notification.

**Sec. 654.040. ACTION BY GOVERNOR.**

In response to a report under Section 654.039, the governor may determine, after consultation with the Legislative Audit Committee, the action to be taken to resolve a nonconformity.

## Related State Auditor’s Office Reports

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Table 10

Related State Auditor’s Office Reports		
Number	Report Name	Release Date
20-701	<i>A Classification Compliance Audit Report on Information Technology Positions at Business and Economic Development Agencies</i>	January 2020
19-706	<i>A Classification Compliance Audit Report on Information Technology Positions at Natural Resources Agencies</i>	February 2019
18-701	<i>A Classification Compliance Audit Report on Information Technology Positions at Selected Education Agencies</i>	October 2017

Copies of this report have been distributed to the following:

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The Honorable Dan Patrick, Lieutenant Governor, Joint Chair  
The Honorable Dennis Bonnen, Speaker of the House, Joint Chair  
The Honorable Jane Nelson, Senate Finance Committee  
The Honorable Robert Nichols, Member, Texas Senate  
The Honorable Giovanni Capriglione, House Appropriations Committee  
The Honorable Dustin Burrows, House Ways and Means Committee

### **Office of the Governor**

The Honorable Greg Abbott, Governor

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Mr. Hasan K. Mack

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