



STATE OF COLORADO
Annual Human Resources Survey
2004-2005

Overview and Results

The Department of Personnel and Administration, Division of Human Resources (DPA/DHR) annually conducts a self-audit survey of all state department and institution human resources operations. The purpose of the survey is to gather information on general human resources activities that cannot be measured through existing electronic systems. The resulting data are used to respond to information requests from the legislature, the State Auditor, state and local governments, and others.

The survey collected information in five functional areas: job evaluation/compensation, selection, leave management, layoffs, and employee relations. The survey was sent to all 48 human resource administrators. Data gathering occurred between late-November 2005 and mid-late-February 2006. A copy of the survey instrument is attached for reference.

The Workforce Staffing unit of DHR prepared this report. Please contact Joy Lindsay at 303-866-4643 or joy.lindsay@state.co.us with questions or comments.

OVERVIEW

The 2004-2005 HR Annual Survey was sent to 20 principal departments and 28 institutions of higher education. The following is a list of the 19 departments and 26 higher education institutions that responded to the survey.

SURVEY RESPONDENTS	
Departments	Higher Education Institutions
Dept of Agriculture	Adams State College
Dept of Corrections	Arapahoe Community College
Dept of Education	Auraria Higher Education Center
Dept of Health Care Policy & Finance	Colorado Commission On Higher Education
Dept of Human Services	Colorado Historical Society
Dept of Labor & Employment	Colorado Northwestern Community College
Dept of Law	Colorado School Of Mines
Dept of Local Affairs	Colorado State University
Dept of Natural Resources	Colorado State University - Pueblo
Dept of Personnel & Administration	Community College Of Aurora
Dept of Public Health & Environment	Community College Of Denver
Dept of Public Safety	Fort Lewis College
Dept of Regulatory Agencies	Front Range Community College
Dept of Revenue	Lamar Community College
Dept of State	Mesa State College
Dept of Transportation	Metropolitan State College Of Denver
Dept of Treasury	Morgan Community College
Governor's Office	Northeastern Junior College
Office of the State Auditor	Otero Junior College
	Pikes Peak Community College
	Pueblo Community College
	Red Rocks Community College
	Trinidad State Junior College
	University Of Colorado (Boulder, Colorado Springs, Denver/Health Sciences Center, and System Administration)
	University Of Northern Colorado
	Western State College

The following is a brief analysis of the results of the self-audit survey. The number of responses varies by section, as some respondents did not answer all questions.

Section I - Human Resources Staff Data

Respondents were asked to provide the number of human resources staff to include all employees performing the following functions:

- Job evaluation/compensation

- Selection
- Leave management
- Performance management
- Employee relations

This year departments were asked to report the total number of employees they serve, which includes non-state personnel system employees (classified, non-classified, faculty, temporary). Forty-five departments responded to this question. The following table illustrates the approximate number of employees served by HR staff.

NUMBER OF EMPLOYEES SERVED BY HR STAFF			
	Number of HR Staff	Number of Employees	Number of Employees served by one HR Staff Member
State Personnel System	273	31,194	91
Non-State Personnel System	71	36,854	NA
TOTAL*	344	68,048	114

*Includes state personnel system employees, non-state personnel system employees, faculty, and temporary employees.

Section II - Job Evaluation/Compensation

Job evaluation is a critical component of human resources administration. The State of Colorado uses a non-numeric factor system to evaluate and allocate positions in the state personnel system. Evaluating a position description questionnaire (PDQ) involves analyzing duties in relation to four job evaluation factors and identifying the correct class series and the appropriate functional level within that series.

HR professionals conduct job analyses and evaluate PDQs to:

- Ensure that PDQs are current and adequate; and
- Determine whether the class series and levels, as related to the job descriptions, are appropriate.

Data from respondents show that during FY 2004-2005 it took an average of 18 calendar days to complete individual allocation actions from the day an official request was received in the HR office to the date of the allocation notice. This turnaround time includes the PDQ evaluation and writing the allocation report. The range of calendar days reported varied from zero to 60. The average of 18 days reported for FY 2004-2005 is an increase of 2 days from last year's data (16 days). It should be noted that the community college system's estimated turnaround times were not reported; therefore, those data are not included in this report.

A total of 4,043 allocation requests were received in the 45 departments and institutions reporting. See the following table. This does not include the community college system's selection activities because no reports for selection activities were received.

JOB EVALUATION ACTIVITY	
Type of Allocation	Quantity
Average number of days to complete allocation requests	18
Number of allocations for occupied positions	2,072
Number of allocations for new positions	712
Number of allocations for vacant positions	1,259

Compensation

The Fair Labor Standards Act (FLSA) is a federal law that establishes the minimum wage, overtime compensation standards, record keeping requirements, child labor provisions, and other regulations that affect employers and employees. The effective date of the Act as it applies to state and local governments was April 15, 1986. The U.S. Department of Labor (DOL) is authorized to investigate any alleged violations and generally enforces the FLSA.

Departments were asked how many complaints were filed with the US Department of Labor and if the department was required to pay back wages and/or penalties during FY 2004-2005. Three departments reported having a complaint filed of which only two were required to pay back wages and/or penalties. The total paid by these two agencies was \$213,837.

Section III – Selection

This section of the survey requested data on the number of days it took to fill positions. Nineteen principal departments responded and twenty-one higher education institutions responded. Community colleges are not represented in the table below.

AVERAGE NUMBER OF DAYS TO FILL POSITIONS	
Selection time-frame	Average Calendar Days
Average number of days to fill a position (from date of receipt of personnel requisition to appointment)	53
Average number of days between receipt of requisition to referral	35
Average number of days between referral and appointment	21

A total of 5,885 state personnel system vacancies were filled in FY 2004-2005 as reported by survey respondents. Respondents were asked to identify vacancies filled through open competitive versus department/institution promotional processes. Community college selection activities are not reflected in the following table.

VACANCIES FILLED			
Fiscal Year	Number of Departments Responding	Promotional	Open Competitive
2002-2003	34	263	941
2003-2004	44	1,193	3,432
2004-2005	40	1,346	4,539

Section IV – Leave Administration

Annual Leave and Sick Leave

Employees accrue annual leave according to the number of years they have worked for the state, and any remaining leave over the maximum accrual rate at the end of a fiscal year is forfeited on July 1. The following table illustrates the leave accrual rates based on years of state service.

ANNUAL LEAVE ACCRUAL RATES	
Years of Service	Hours/Month (for full-time employees)
0-5	8
6-10	10
11-15	12
16+	14

The maximum accrual rate ranges from 24 to 42 days, depending on years of service. Upon retirement or separation, unused accrued annual leave is paid out, subject to the maximum accrual rate.

All 45 respondents reported the number of annual and sick leave hours taken. As illustrated in the following table, the average number of annual leave days taken by employees has decreased in the last three years. For sick leave, the average number of days used per year has remained consistent (within one day).

LEAVE TAKEN OVER THE LAST THREE YEARS*						
FY 2004-2005					FY 2003-2004	FY 2002-2003
Type of Leave	Number of Employees who Took Leave	Overall Hours of Leave Taken	Average Number of Hours Taken	Average Number of Days Taken	Average Number of Days Taken	Average Number of Days Taken
Annual	31,840	3,319,231	104.3	13.0	12.0	14.5
Sick	31,490	1,941,123	61.8	7.8	7.0	8.0

*Does not include payouts to separated employees.

Leave Payout

The sick leave conversion program allowed eligible employees to convert all or a portion of accrued sick leave in excess of 360 hours to salary for PERA purposes. The conversion rate was 15 percent. The enabling statute expired on June 30, 2005. During FY 2004-2005, 441 employees converted sick leave under the program. As shown in the following table the average number of annual leave days paid out was 7.9 and the average number of sick leave days paid out in FY 2004-2005 was 9.4. The table also shows that the average number of sick leave days converted to salary was 29.9 during Fiscal Year 2004-2005.

LEAVE PAYOUT INFORMATION FISCAL YEAR 2004-2005				
Type of Leave Paid Out	Total Hours of Leave Paid Out	Number of Employee Separations FY 2004-2005	Average Number of Hours Paid Out	Average Number of Days Paid Out
Annual Leave	234,165	3,710	63.1	7.9
Sick Leave (only applies to retiring employees)	67,113	897 <i>(number of retirements recorded for FY 2004-2005)</i>	74.8	9.4
Sick Leave Conversion as of 6/30/2005 (employees who converted sick leave to salary prior to retirement)	102,497	441	240.0	29.9

Bereavement Leave

Bereavement leave is granted based on the employee's relationship to the deceased, and the distance and mode of transportation to attend services. An appointing authority may grant up to 40 hours of bereavement leave per occurrence. The following table illustrates the usage of funeral days for the past three fiscal years. The rate of usage remains relatively steady.

BEREAVEMENT LEAVE TAKEN OVER THE LAST THREE YEARS					
FY 2004-2005				FY 2003-2004	FY 2002-2003
Number of Employees Taking Leave	Overall Hours Taken	Average Number of Hours Taken	Average Number of Days Taken	Average Number of Days Taken	Average Number of Days Taken
5,949	122,757	20.6	2.6	2.2	3.0

Leave Sharing

A leave-sharing program allows employees to transfer annual leave to an eligible employee who has an immediate family member experiencing a catastrophic illness or injury that poses a direct threat to life, a non-medical catastrophic event, or to fulfill a military leave obligation. For FY 2004-2005, 38 of the 45 respondents reported having a leave sharing program. Fourteen departments have a leave bank; thirteen use leave transfer; and 11 have both types of programs.

Eligibility is limited to permanent employees with at least one year of state service who have exhausted all applicable accrued leave. Leave sharing is intended to be a “court of last resort” and is not a substitute for short-term disability, long-term disability, or workers’ compensation benefits. Each department or institution determines whether or not to offer a leave-sharing program.

For the 2004-2005 year, 25 departments received a total of 205 applications for leave sharing. The following table illustrates the number of applications accepted and rejected for leave sharing for the last three fiscal years.

LEAVE SHARING APPLICATIONS OVER THE LAST THREE YEARS			
	FY 2004-2005	FY 2003-2004	FY 2002-2003
Number of Applications Accepted	176	147	149
Number of Applications Rejected	29	11	27

Following is a summary of the documented reasons for leave sharing applications.

LEAVE SHARING – TYPE OF RELATIONSHIP FY 2004-2005 ONLY	
Relationship	Number of Applications Reported
Self	139
Child	14
Parent	8
Spouse	14
Other	1

Catastrophic events leave has been in effect since June 21, 2002. Departments and institutions are authorized to expand their leave-sharing programs to include employees who are directly affected by life-altering, non-medical catastrophic events or emergencies, such as wildfires, floods, tornadoes, and other natural disasters. This includes employees who suffer loss of life or property as a consequence of such events, or who are serving as first-responders to such tragedies.

The Personnel Director’s Administrative Procedure provides for paid leave of up to 15 working days (120 hours) within a calendar year for military service whether for training or active duty. On December 11, 2001, the State Personnel Director temporarily extended administrative leave and annual leave-sharing programs to employees called to active duty following the September 11 terrorist attacks. The extension of this rule has not been cancelled. Through the policy, department heads and presidents of colleges and universities are encouraged to grant administrative leave to state employees called to active military service. The purpose of this administrative leave is to make the salaries of these employees “whole” for a period of 90 calendar days following the exhaustion of their paid military leave to help relieve some of the financial hardship. The following table summarizes the usage of these different leaves.

LEAVE SHARING TAKEN DURING FISCAL YEAR 2004-2005					
Reason for Leave Sharing	Number of Departments Responding	Number of Employees Approved	Total Number of Hours Approved	Average Number of Hours Approved	Average Number of 8-hour Work Days Approved
Medical Leave	26	228	24,826	108.9	13.6
Non-medical Catastrophic Event	4	4	1,359	339.9	42.5
Military	7	9	1,918	213.1	26.6

Section V – Layoff

Layoff actions can only occur when there is lack of funds, lack of work, or reorganization (Board Rule 7-7). The following table shows the number of layoffs that occurred in FY 2004-2005. The table also indicates the number of employees who were placed in different positions (upward, lateral and downward movement). Also shown are the numbers of employees who chose to retire or separate employment, accepted separation incentives in lieu of lay off, and separated from state employment as a result of their position being abolished.

LAYOFF INFORMATION FISCAL YEAR 2004-2005	
	Number of Employees
Employees who were issued layoff notices*	60
Status of employees affected by layoff processes	
Separated due to layoff (laid off)	30
Assigned to other positions at similar pay levels in lieu of layoff	20
Assigned to different positions at lower pay levels due to receiving layoff notices	3
Accepted separation incentives in lieu of layoff	6
Retired to save another employee's position due to layoff	1
Transferred to a position outside their department due to receiving a layoff notice	1
Resigned due to receiving a layoff notice	1

*The total number of employees receiving layoff notices does not equal the sum of the status of employees affected by layoff processes. Some employees may have received a layoff notice in FY 2003-2004, yet departures or transfers may not have occurred until FY 2004-2005; therefore, an employee may have been reported in FY 2004-2005 even though the separation notice originated in FY 2003-2004. Also, an employee may have received a layoff notice in FY 2004-2005, yet no status of the employee will be recorded until FY 2004-2005.

Section VI – Grievances, Corrective Actions, Disciplinary Actions

Grievances

Board Rule 8-5 states that “a permanent employee may grieve matters that are not subject to appeal or review by the Board or Director.” Each department and institution is allowed flexibility to establish an internal grievance process to address and resolve problems, provided the process complies with the time frames and basic procedures in Board Rule 8-8.

Corrective Actions

According to Board Rule 6-11, corrective actions are written statements “intended to correct and improve performance or behavior” that do “not affect current base pay, status, or tenure.” Corrective actions include statements regarding the areas for improvement, the actions to take, the time frame, and consequences for failure to correct behavior.

Disciplinary Actions

According to Board Rule 6-12, disciplinary actions can be taken against an employee for: (1) failure to perform competently, (2) willful misconduct or violation of rules or law, (3) false statements of fact during the application process for state positions, (4) willful

failure to perform, including failure to plan or evaluate performance in a timely manner or inability to perform, (5) final conviction of a felony or other offence of moral turpitude, and (6) final conviction of an offense of a Department of Human Services' employee subject to statutory provisions. Further, the rule states that disciplinary actions may include a reduction of base pay, demotion, dismissal, and suspension without pay (Board Rule 6-12). The following table illustrates the number of occurrences in each category for FY 2004-2005.

Grievances		
	Number of Departments Responding	Number of Occurrences
Written grievances filed with HR offices	18	189
Corrective Actions		
Number of Corrective actions administered	34	1,109

Disciplinary Actions		
	Number of Departments Responding	Number of Occurrences
Reason for Disciplinary Action		
Failure to meet standards of efficient service	22	169
Willful misconduct	19	204
Willful failure or inability to perform the job	15	127
Final conviction of a felony	1	2
Outcomes of Disciplinary Actions		
	Number of Departments Responding	Number of Occurrences
Dismissal	23	221
Suspension	13	61
Demotion	9	21
Pay reduction	11	141
Other disciplinary actions taken	8	34