




PORT OF GUAM
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Lourdes A. Leon Guerrero
Governor of Guam
Joshua F. Tenorio
Lieutenant Governor

POLICY MEMORANDUM NO. 2024-GM04

To: All Port Employees	Subject: Desk Audit Policy
Effective Date: October 1, 2024	Revision Date:
Approved by:  RORY J. RESPICIO, General Manager	

I. PURPOSE.

The Desk Audit Policy ensures that employees' job classifications accurately reflect their duties and responsibilities. It provides a formal process for reviewing positions when an employee believes their role has significantly expanded beyond their current classification. This process is pro-employee, ensuring fairness and transparency while maintaining alignment with the Port's operational needs. Limitations and exceptions to this policy are clarified herein.

II. ELIGIBILITY.

Desk audits are limited to employees in a class series. Employees who feel their duties have significantly changed and no longer align with their current job description may request a desk audit. HR will flag if the request relates to a pay reclassification, and the request will follow the appropriate procedures. In accordance with Personnel Rules & Regulations (PRR) Rule 5.011(A), such changes in duties and responsibilities must have been acquired or performed for at least three (3) months and cannot be temporary.

III. DESK AUDIT REQUEST PROCESS.

1. Employee's Request:

Employees must submit a formal desk audit request letter to the General Manager, outlining their current duties, time commitments, and how their role has expanded beyond their job description. In accordance with PRR Rule 5.011(A), the letter must include:

- The position description (PD) of the role they believe they are performing.
- A breakdown of their time spent on duties listed in their job description versus new or expanded duties.
- A review of the Knowledge, Skills, and Abilities (KSAs) required for the job they believe they are performing and whether they meet those requirements.
- The employee's immediate supervisor must endorse the request by certifying the following:

- **Confirmation of Expanded Duties:** The supervisor must confirm whether the employee is performing the expanded duties as claimed.
- **Relevance to the Division:** The supervisor must explain whether these expanded duties remain critical to the division's needs and operations.
- **Justification for Allowing Expanded Duties:** The supervisor must provide a written explanation of how and why these expanded duties were allowed.
- **Oversight of Expanded Duties:** The supervisor must affirm that they approved the expanded duties before they were assigned, or explain why this oversight occurred.

2. Documentation and Certification:

The supervisor's endorsement must be submitted as a formal certification, signed and attached to the employee's desk audit request. The certification must clarify the expanded duties' relevance to the division and justify their necessity in the organizational structure, in accordance with PRR Rule 5.011(B).

3. HR Initial Screening:

HR will conduct an initial screening using the Initial Screening Form to assess whether the request should proceed to a full desk audit. This screening will focus on:

- Completeness of the employee's request.
- Significant deviations from the current job description.
- Employee qualifications, including KSAs, education, and certifications.
- Supervisor's input on the expanded duties.
- Timeline: HR has 20 calendar days to complete this review in line with PRR Rule 5.011(B).

IV. COMMUNICATION OF DECISION.

HR will notify the employee in writing of the outcome of the initial screening within this timeframe.

- If the request is denied at this stage, the employee will receive communication with HR's reasons.
- Employees may request another review after 90 days if there are significant, sustained changes in their duties.

V. FULL DESK AUDIT PROCESS.

If the initial screening warrants a full desk audit, HR will conduct a thorough review of the employee's role. This review includes:

- Verifying the scope of new responsibilities and their alignment with higher classifications.
- Reviewing metrics and impacts provided by the employee, such as cost savings or efficiency improvements.
- Comparing the employee's duties with similar positions in the organization.

- Ensuring compliance with the Port's Personnel Rules and Regulations (PRR), as required by PRR Rule 5.011(B).

VI. HR'S REVIEW AND RECOMMENDATION.

HR will compile findings from the desk audit and submit a formal review to the General Manager. This review will assess whether the employee meets the qualifications for the position they believe they are performing. Based on the findings, HR will either:

- Recommend maintaining the current classification if duties remain within the scope of the existing job description.
- Recommend reclassifying to a lower position if the employee's actual duties do not match their current classification, and if, after six (6) months, the employee does not show improvement in meeting the minimum requirements of their current job.
- Recommend reclassification to a higher position if the expanded duties warrant it.

VII. OPPORTUNITY FOR IMPROVEMENT (NEW PRO-EMPLOYEE POLICY).

To ensure fairness and transparency, employees who are determined to not be meeting the minimum requirements for their current position will be provided with a formal six-month improvement period before any reclassification to a lower position is considered.

Process Overview:

- If the desk audit determines that the employee is not meeting the minimum requirements for their current position, the employee will be given a formal improvement period of six (6) months to address these deficiencies.
- During this time, the employee will receive support from their supervisor and be provided with clear performance expectations and areas requiring improvement.
- Performance will be monitored through regular evaluations to ensure the employee is on track to meet the requirements of their position.

If Improvement is Not Achieved:

If the employee fails to show the necessary improvement during the six-month period:

1. Reclassification to a Lower Position:

The employee may be reclassified to a lower position if they do not meet the required standards after the improvement period. This reclassification will follow the standard rules outlined in PRR Rule 5.012(B) regarding the retention of salary for two years.

2. Further Actions:

Additional actions based on the employee's performance evaluation may be taken if applicable.

3. Formal Communication:

The employee will receive formal communication regarding the outcome of their performance evaluation, including any changes to their classification, responsibilities, and pay.

VIII. FINAL DECISION ON RECLASSIFICATION.

The HR recommendation will be forwarded to the General Manager for review and final decision on the employee's reclassification. The decision will consider factors such as:

- **Alignment with Organizational Goals:** How the employee's expanded duties support the Port Authority's mission and strategic objectives.
- **Budgetary Considerations:** Availability of resources and financial impact on the organization.
- **Compliance:** Adherence to the Port's Personnel Rules and Regulations and applicable Guam laws.
- **Operational Needs:** The necessity of the expanded duties for the efficiency and effectiveness of the division.
- **Effective Date of Reclassification:** If reclassification is approved, it will follow the provisions of PRR Rule 5.012(A) for positions reclassified to a higher grade and PRR Rule 5.012(B) for positions reclassified to a lower grade.

IX. COMMUNICATION OF FINAL DECISION.

The General Manager will notify the Division Head and the employee of the classification study results within twenty (20) working days of completing the audit in accordance with PRR Rule 5.011(B). Once the General Manager has made the decision on the reclassification, the employee will be informed in writing of the final outcome. If the request is denied, the communication will include the reasons for the denial. A copy of the study and the personnel action shall be filed with the Commission for post-audit purposes.

X. APPEAL PROCESS.

If an employee disagrees with the classification decision made by the General Manager, they may request an administrative review in accordance with PRR Rule 5.014(A)-(D). This request must be submitted in writing and must include specific reasons for disagreement with the decision, as well as the desired action. Requests for review must be submitted within twenty (20) calendar days of the notice of classification. The General Manager will take appropriate action, which may include rescinding the original classification decision. An employee may appeal to the Commission within fifteen (15) calendar days of receiving the General Manager's decision, in accordance with PRR Rule 5.014(F).

XI. POST-AUDIT ACTIONS.

If reclassification is approved, all subsequent changes to salary, job title, or responsibilities will be managed according to the Port's Personnel Rules and Regulations and applicable Guam laws. If no reclassification occurs, the employee will continue in their current role without any changes to their job classification. In cases where a position is reclassified to a lower pay grade, the employee will maintain their current salary for two years before adjustments are applied, in line with PRR Rule 5.012(B).

XII. CONFIDENTIALITY.

All information shared during the desk audit process will be treated with strict confidentiality. HR, supervisors, and any involved parties are expected to maintain the confidentiality of the employee's submission and the details of the audit to encourage honesty and openness.

XIII. TRAINING AND AWARENESS.

HR will provide training and resources to supervisors and HR personnel involved in the desk audit process to ensure consistency, fairness, and compliance with this policy. This includes guidelines on evaluating desk audit requests, maintaining confidentiality, and understanding the procedural timelines.

XIV. COMPLIANCE WITH PORT'S PERSONNEL RULES AND REGULATIONS AND GUAM LAWS.

All aspects of the desk audit process, including reclassifications, salary adjustments, and employee requests, will be conducted in full compliance with the Port's Personnel Rules and Regulations and any applicable laws of Guam.

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Website: www.portguam.comLourdes A. Leon Guerrero
Governor of GuamJoshua F. Tenorio
Lieutenant Governor**Human Resources Department
HR Initial Screening Checklist Form****Desk Audit Initial Screening Form****Section A: Employee Information**

Employee Name:		Current Job Title:	
Department/Division:	Supervisor's Name:	Date of Request Submission:	

Section B: Checklist for Initial Screening

Completeness of Employee's Request	Check Mark <i>Yes</i> or <i>No</i>	
	Yes	No
Formal desk audit request letter received.		
Current job description attached.		
Proposed job description attached.		
Time breakdown of duties provided.		
KSAs review included.		
Supervisor Endorsement Letter attached.		
Comments:		

Significant Deviations from Current Job Description	Check Mark <i>Yes</i> or <i>No</i>	
	Yes	No
Expanded duties identified.		
Expanded duties constitute a significant change.		
Comments:		

Employee Qualifications	Check Mark <i>Yes</i> or <i>No</i>	
	Yes	No
Education (Meets requirements for proposed position).		
Experience (Meets requirements for proposed position).		
Certification (if applicable) (Meets requirements for proposed position).		
Comments:		

Supervisor's Endorsement and Opportunity for Improvement	Check Mark <i>Yes</i> or <i>No</i>	
	Yes	No
Supervisor's endorsement received.		
Supervisor confirms expanded duties are critical.		
Supervisor confirms a six-month Opportunity for Improvement will be provided if necessary.		
Comments:		

Section C: Initial Screening Decision

	Check Mark <i>Yes</i> or <i>No</i>	
	Yes	No
Proceed to Full Desk Audit.		
If No, Reason for Denial:		

Section D: Human Resources Representative

Name:	Title:
Signature:	Date of Review Completion:

Section E: Communication to Employee

Date of Notification:	Method of Communication: <input type="checkbox"/> Email <input type="checkbox"/> Formal Letter <input type="checkbox"/> In-person Meeting
Notes:	