

AUDIT PLAN
POSITION DESCRIPTION AND PERFORMANCE EVALUATION AUDIT – 2007

AUDIT PURPOSE

The purpose of this audit is to review agencies' fulfillment of the requirements to develop and maintain complete and current position descriptions in compliance with Oregon statutes, Human Resource Service Division (HRSD) rules and policy, and collective bargaining agreements (CBA). The audit will also review position descriptions and performance evaluations of management and unclassified executive service employees with supervisory responsibilities for compliance with the Governor's Executive Order 05-01 and the requirements in HRSD rules and policies.

AUDIT SCOPE

This review will cover all Executive Branch agencies, except Lottery, Secretary of State, and Treasury. The HR Audit Unit will identify positions through a random sample, and request a copy of the current position description for each selected position. Position descriptions will then be reviewed for completeness based on criteria in the state *Classification Guide* and the *Position Description Instructions*. The designations for Fair Labor Standards Act (FLSA), service type, and part-time / full-time (PT/FT) status on each sampled position description will be reviewed for consistency with data in the Position and Personnel Database (PPDB).

The HR Audit Unit will also identify management and unclassified executive service employees with supervisory responsibilities through a random sample, and request copies of the current position description and the most recent performance evaluation for the selected employees. The documentation will be reviewed for compliance with HRSD State Policy 50.035.01 – Performance Management Process, HRSD State Policy 30.000.01 – Position Management, and Executive Order 05-01.

REFERENCES

ORS 240.195; 240.200; 240.205; 240.210; 240.212; and 243.650 discuss the different service types in state government and the criteria for determining the appropriate service type for a particular position.

HRSD State Policy 50.035.01 – Performance Management Process states, in relevant part:

“(1) (c) (E) All supervisors shall complete an annual written performance evaluation for each employee prior to the employee's performance appraisal date. The evaluation shall be based on the employee's performance plan and include:

* * * * *

(v) required signatures of employee, supervisor, and reviewer with a copy of the signed evaluation form provided to the employee.”

HRSD State Policy 30.000.01 – Position Management states, in relevant part:

“State agencies shall manage work assignments within the budgeted position classification levels. Accordingly, an appointing authority shall:

(a) Develop and maintain a complete and current position description for each position which accurately describes the duties, authorities and responsibilities assigned by management.”

Collective Bargaining Agreements – CBAs have provisions relating to position descriptions. For example, the State of Oregon – SEIU Master Agreement, Article 85, Section 1, states, in relevant part:

“Section 1. Position Descriptions. Individual position descriptions shall be reduced to writing and delineate the duties currently assigned to an employee’s position. A dated copy of the position description shall be given to the employee upon assuming the position and when the position description is amended. The individual position description shall be subject to at least an annual review with the employee.”

Most AFSCME agreements have similar language, including the requirement for an annual review of the position description.

HRSD Publications – Classification Guide, Sections 6, 9, and 10 state, in relevant part, that 1) the State of Oregon uses a standard form for position descriptions, 2) there must be a position description for every position, 3) a supervisor should review the existing position description with the incumbent yearly and initial it to verify that it is still accurate, and 4) the position description should be signed and dated by the employee, the immediate supervisor, and the appointing authority.

HRSD Forms – Position Description Instructions states, in relevant part, that all sections of the position description form should be completed. These instructions also explain the information needed in each section, including signatures and an organizational chart.

Governor’s Executive Order 05-01 – Affirmative Action states, in relevant part, that the State of Oregon “...values the principles of equal employment opportunities, affirmative action and diversity and should proactively lead the State on issues of equality and diversity and on the promotion of Affirmative Action.” In addition, to achieve these ends the Department of Administrative Services “...shall devise a procedure to examine whether executive service and management service employees have appropriate affirmative action and diversity responsibilities in their position descriptions. The audit procedure shall also review whether employees have been evaluated on their Affirmative Action and Diversity successes and achievements.”

AUDIT ELEMENTS AND METHODOLOGY

Overall Methodology – Data from the PPDB will be used to select a random sample for each of the two general areas being audited for a twelve month period ending October 31, 2007. The size of the sample will reflect a random sample for each agency.

1. Element – Ensure that state agencies are preparing position descriptions in compliance with HRSD State Policy 30.000.01 – Position Management, the HRSD *Classification Guide*, and the HRSD *Position Description Instructions*.

Element Risk Assessment* = 1 (Adverse Impact, Public Perception)

Methodology – The HR Audit Unit will review all position descriptions in the random sample to determine if all relevant fields are complete, required information is listed or attached (e.g., expanded organization chart), and all required signatures are present.

2. Element – Ensure that position descriptions accurately reflect the FLSA, service type and PT/FT designations maintained in the PPDB.

Element Risk Assessment* = 2 (Adverse Impact, Public Perception)

Methodology – The HR Audit Unit will compare the FLSA, service type, and PT/FT status codes identified in the PPDB to those recorded on the position description for all position descriptions in the random sample. This review will not include a review to determine if the service type, FLSA, or the PT/FT status code is correct.

3. Element – Ensure that state agencies are preparing position descriptions for management and unclassified executive service positions with supervisory responsibilities in compliance with Executive Order 05-01. The position description for each position selected for this additional review will contain appropriate affirmative action and diversity responsibilities.

Element Risk Assessment* = 1 (Adverse Impact, Public Perception)

Methodology – The HR Audit Unit will conduct an additional review of the position descriptions for selected management and unclassified executive service positions with supervisory responsibilities. The position descriptions for the selected positions will contain the responsibilities listed in Executive Order 05-01.

4. Element – Ensure that state agencies are evaluating management and unclassified executive service employees having supervisory responsibilities with an annual written performance evaluation prior to the employee's performance appraisal date. The written performance evaluation will have the required signatures and appropriate completion date as required by HRSD State Policy 50.035.01 (1) (c) (E).

Element Risk Assessment* = 1 (Adverse Impact, Public Perception)

Methodology - The HR Audit Unit will conduct an additional review of selected performance evaluations for management and unclassified executive service employees with assigned supervisory responsibilities. The performance evaluations for the employees in the selected positions will be pulled for the sample period and contain the required signatures and appropriate completion date as required by HRSD State Policy 50.035.01 (1) (c) (E).

5. Element – Ensure that state agencies are evaluating management and unclassified executive service employees with supervisory responsibilities on their affirmative action

and diversity successes and achievements. The annual performance review for the employees in the selected management and unclassified executive service positions will contain an evaluation of affirmative action and diversity successes and achievements.

Element Risk Assessment* = 1 (Adverse Impact, Public Perception)

Methodology – The HR Audit Unit will conduct an additional review of selected performance evaluations for management and unclassified executive service employees with supervisory responsibilities. The performance evaluations for the employees in the selected positions for the sample period will contain an evaluation of their affirmative action and diversity successes and achievements as required by Executive Order 05-01.

SYSTEM DATA SOURCES

✓ Report produced from data on the PPDB. For each agency it will include the following data fields:

- Agency number
- Report Distribution Code (RDC)
- Employee name
- Authorization Number
- Position number
- Position Classification Title
- Position Classification Number
- Position Salary Range Number
- Performance Appraisal Date
- Position Representation Code
- Employee Classification Title
- Employee Classification Number
- Employee Salary Range Number
- Employee Identification Number
- Employee Representation Code
- City/County Code

*ELEMENT RISK ASSESSMENT (ERA) -- See below

ELEMENT RISK ASSESSMENT (ERA)

1	Potential for significant monetary impact resulting from penalties or legal action or loss of productivity. There could also be the potential for a significant adverse impact on the health, welfare and/or safety of those served, or the public’s perception of state government resulting from inappropriate expenditures and/or poor stewardship of public funds. Corrective actions assure compliance within 30 days and follow-up actions may include further analysis of the audit subject and/or agency human resource management practice application.
2	Potential for moderate monetary impact resulting from penalties or legal action or loss of productivity. There could also be the potential for a moderate adverse impact on the health, welfare and/or safety of those served, or the public’s perception of state government resulting from inappropriate expenditures and/or poor stewardship of public funds. Corrective actions assure compliance within 90 days and follow-up actions may include further analysis of audit subject and/or agency human resource management practice application.
3	Potential for relatively low or no monetary impact resulting from penalties or legal action or loss of productivity. The practice does not constitute a best management practice and may cause minor disruptions and inconveniences to others or the workflow. Corrective actions are in the form of recommendations for future practices or for agency to receive training in the human resource management area where deficiency is observed and may include further analysis of audit subject and/or agency human resource management practice application.

For more information on Element Risk Assessments, please go to the HR Audit Program webpage at: www.oregon.gov/DAS/HR/audit.shtml. You can also view the Corrective Action Plan and Follow-up Procedures Guidelines under “Program Documents.”