

DEPARTMENT OF ADMINISTRATIVE SERVICES
HR AUDIT REPORT
POSITION DESCRIPTION AND PERFORMANCE EVALUATION AUDIT



HR Audit Program

Report No. 2008 – 01

Human Resource Services Division

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SUMMARY

This report reviews how well state agencies complete position descriptions. It also examines how well agencies comply with the affirmative action and diversity standards in Executive Order 05-01. The Position and Personnel Data Base (PPDB) lists 28,457 positions in Executive Branch agencies as of Nov. 1, 2006. We did a random sample of these positions for both parts of the review. We selected 387 positions for the position description review and 315 supervisors for the Executive Order review.

We asked agencies for a current position description for each position in the position description sample. Agencies provided position descriptions for 94 percent of the selected positions. We reviewed these documents to see if they complied with the state *Classification Guide* and *Position Description Instructions*. We also reviewed the Fair Labor Standards Act (FLSA) and service type designations. We found that 67 percent of the position descriptions were current and 91 percent had an Appointing Authority signature.

We also asked agencies for the current position description and performance evaluation of each supervisor in the Executive Order sample. Agencies provided 90 percent of the position descriptions and 81 percent of the performance evaluations. We reviewed these documents to see if they complied with Executive Order 05-01 by having affirmative action and diversity duties. We found 70 percent of the position descriptions and performance evaluations complied with Executive Order 05-01.

BACKGROUND

Governor's Executive Order 05-01 – Affirmative Action states, in relevant part, that Oregon state government "...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."

HRSD State Policy 30.000.01 – Position Management states that state agencies shall: "[D]evelop and maintain a complete and current position description for each position which accurately describes the duties, authorities and responsibilities assigned by management."

HRSD State Policy 50.035.01 – Performance Management Process states, in relevant part, that "[a]ll 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... required signatures of employee, supervisor, and reviewer with a copy of the signed evaluation form provided to the employee."

HRSD Publications – Classification Guide, Sections 6, 9, and 10, state, in relevant part, the position description is the primary document of personnel administration. State agencies are to use a standard form for position descriptions – the PD 122. This form becomes an approved assignment of work when

signed by an agency's Appointing Authority. There must be a position description for every position, whether filled or vacant. A supervisor should review the existing position description with the incumbent yearly and initial it to verify it is still accurate. The position description should be signed and dated by the employee, supervisor, and 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.

AUDIT SCOPE

This audit reviewed position descriptions and performance evaluations. We identified a random sample of positions for each agency in the audit. We verified the agency completed the position description for each position as required by HRSD Statewide Policy 30.000.01, the *Classification Guide* and the *Position Description Instructions*. We also selected a random sample of supervisors from each agency. We reviewed these supervisors' position descriptions to verify they had affirmative action and diversity duties. In addition, we reviewed their performance evaluations to verify agencies evaluated the supervisors for affirmative action and diversity. We also reviewed these performance evaluations to confirm they were signed and timely completed as set forth in HRSD Statewide Policy 50.035.01.

AUDIT METHODOLOGY

Data used in this audit came from PPDB. The data identified all employees of Executive Branch agencies as of Nov. 1, 2006. It also identified all supervisors of these agencies who had been in their current position for at least one year from that date. We then used the following criteria:

- For the position description review, we selected a sample of 387 positions from a total of 28,457. This random sample represents a 93 percent confidence level with a 5 percent margin of error.
- For the Executive Order review, we selected a sample of 315 supervisors from a possible 2,920. This random sample also represents a 93 percent confidence level with a 5 percent margin of error.
- We sent letters to 65 agencies asking for documents on the sampled positions and supervisors.
- We reviewed each position description to verify the agency completed it as set forth in policy and guideline. We also confirmed the information in the position description matched the data in PPDB. In addition, we confirmed that the position description of each supervisor included affirmative action and diversity duties.
- We reviewed the performance evaluations to verify agencies evaluated supervisors on affirmative action and diversity.
- Following completion of the review, we sent our preliminary findings to each agency. These letters reported general and specific findings on the position descriptions, including:
 - Whether a position description was provided
 - Class title and class number

- FLSA and overtime
- Service type
- Essential duties
- Decision making
- Appointing authority signature

The letters also reported our findings on how position descriptions and performance evaluations complied with Executive Order 05-01. Agencies then gave us additional information and documents in response to the findings.

- After reviewing the responses, we sent final letters to each agency, which included details for the position description and Executive Order parts of the audit. We recommended the actions each agency should take to ensure position descriptions and performance evaluations comply with Executive Order, policy or guideline. We also provided a summary sheet with trends on the final findings for position descriptions and performance evaluations.

SUMMARY OF FINDINGS

Overall Compliance

- Agencies submitted 365 or 94.3 percent of the 387 requested position descriptions for the position description review.
- Agencies submitted 284 or 90.2 percent of the 315 requested position descriptions for the Executive Order review.
- Agencies submitted 256 or 81.3 percent of the 315 requested performance evaluations for the Executive Order review.

Position Description Compliance

- Agencies completed the Classification Title field on 99.7 percent of the position descriptions, and 95.3 percent matched the data in PPDB.
- Agencies completed the Classification Number field on 99.2 percent of the position descriptions, and 95.1 percent matched the data in PPDB.
- Agencies completed the FLSA field on 92.1 percent of the position descriptions, and 98.3 percent matched the data in PPDB.
- Agencies completed the Overtime Eligibility field on 98.1 percent of the position descriptions, and 98.3 percent matched the data in PPDB.
- Agencies completed the Service Type field on 98.1 percent of the position descriptions. There is no corresponding PPDB data.

- Agencies completed Section 3 - Duties, which includes the Essential Duties, on 97.2 percent of the position descriptions.
- Agencies completed Section 7 - Decision-making on 99.2 percent of the position descriptions.
- Agencies had the appointing authority signature on 91.2 percent of the position descriptions.
- Agencies provided a current position description for 66.5 percent of the requested positions.

Executive Order 05-01 Compliance

- Of the 284 supervisory position descriptions, 70.1 percent complied with Executive Order 05-01, which requires that a supervisor's position description have affirmative action and diversity duties.
- Of the 256 supervisory performance evaluations, 70.3 percent complied with Executive Order 05-01, which requires an agency to evaluate a supervisor on affirmative action and diversity.

Performance Evaluation Compliance

- Of the 256 supervisory performance evaluations, 96.1 percent contained signatures that comply with HRSD Statewide Policy 50.035.01.
- Of the 256 supervisory performance evaluations, 74.3 percent were completed within the period that complies with HRSD Statewide Policy 50.035.01.

CONCLUSIONS AND RECOMMENDATIONS

1. Conclusion: Generally, agencies complete position descriptions and they comply with HRSD policy and guidelines. However, we note that 33.5 percent of the sampled position descriptions were not current.

Recommendation: Agencies should develop and implement a process to ensure employees have a current position description.

2. Conclusion: Generally, agencies include affirmative action and diversity duties in supervisor position descriptions, as required by Executive Order 05-01.

Recommendation: If a process is not already in place, agencies should develop and implement a process to ensure that all supervisor position descriptions include affirmative action and diversity duties.

3. Conclusion: Generally, agencies evaluate supervisors for affirmative action and diversity in performance evaluations, as required by Executive Order 05-01.

Recommendation: If a process is not already in place, agencies should develop and implement a process to ensure they evaluate all supervisors on affirmative action and diversity.

This audit was conducted by staff of the HR Audit Program of the Human Resource Services Division (HRSD) in the Department of Administrative Services (DAS) in accordance with the requirements of ORS 240.311 (1) and HRSD Statewide Policy 10.025.01.