

**AUDIT PLAN
POSITION DESCRIPTION AND PERFORMANCE EVALUATION – 2007
PHASE II**

AUDIT PURPOSE

The purpose of this audit is to review a larger sample of position descriptions and performance evaluations of supervisory management and unclassified executive service employees for compliance with the Governor's Executive Order 05-01 and related HRSD policies.

AUDIT SCOPE

This review will cover Executive Branch agencies, except Lottery, Secretary of State, and Treasury. Due to the sample size, boards, commissions and agencies with less than fifteen supervisory positions that were included in Phase I will not be requested to provide additional documentation. HR Audits will identify additional management and unclassified executive service employees with supervisory responsibilities through a valid random sample, and request a current position description and the most recent performance evaluation for each selected position/employee. The documents will be reviewed for compliance with HRSD State Policy 30.000.01 – Position Management, HRSD State Policy 50.035.01 – Performance Management Process, 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 to determine the appropriate service type for a position.

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

- (1) "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."

HRSD State Policy 50.035.01 – Performance Management Process states, in relevant part, that an agency Performance Management Plan "...shall include the following plan requirements:

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- (1)(c)(B) a performance management plan for each employee that is developed and communicated to the employee prior to the beginning of each plan year and includes:
 - (i) identification of their job performance expectations and performance measures that are result-based or behavior-based or a combination of both. Performance measures for managers and supervisors shall contain the effectiveness of their affirmative action objectives.

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(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:

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

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." 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 – Select a valid random sample based on data from the Position and Personnel Data Base (PPDB) for the three elements below. The data will cover a 12 month period ending October 31, 2007. The scope of the sample will reflect a random selection of supervisory positions/employees, with a minimum of 10 percent from each agency. Due to the sample size, boards, commissions and agencies with less than fifteen supervisor positions and that were included in Phase 1 will not be requested to provide additional documentation.

1. Element – Ensure state agencies are preparing position descriptions for supervisory management and unclassified executive service positions in compliance with Executive Order 05-01.

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

Methodology – HR Audit Unit will review the position description for each selected employee to determine whether it contains the affirmative action and diversity responsibilities as required by Executive Order 05-01.

2. Element – Ensure that state agencies are evaluating supervisory management and unclassified executive service employees with an annual written performance evaluation prior to the employee's performance appraisal date.

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

Methodology - HR Audit Unit will review the performance evaluation for each selected employee to determine whether it contains the signatures and appropriate completion date as required by HRSD State Policy 50.035.01 (1) (c) (E).

3. Element – Ensure state agencies are evaluating supervisory management and unclassified executive service employee performance in compliance with Executive Order 05-01 and HRSD State Policy 50.035.01.

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

Methodology – HR Audits will review the performance evaluation for each selected supervisory management and unclassified executive service employee to determine whether it contains an evaluation of 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)

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| 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. |
| 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. |
| 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. |

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."