

Chapter 8

Job Audits

Chapter Topics

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Appendices

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Job Audits

The purpose of a job audit is to gather additional information concerning the duties and responsibilities of a particular position or a class of positions. The information gathered will assist you in determining the appropriateness of a request to reclassify a filled position to another title and/or salary grade.

The following outline is intended as a guide for you to use in preparing and conducting job audits.

Preparing for the Audit

Adequate preparation cannot be over-emphasized. In order to obtain information that will be useful in the preparation of a duties description that adequately describes the position and from which a sound classification determination can be made, careful planning and preparation is essential.

1. Review all available information about the existing position and the organizational setting. This may include the following documents:

- Available duties descriptions for the job. Identify areas of ambiguity that may need clarification.
- Performance evaluation criteria from the employee's personnel folder.
 - In the absence of a duties description this will provide some indication of the duties and responsibilities of the position.
- Organization Charts
 - Clarify the mission of the organization in which the position is located, e.g., what is the role and responsibility of the Provost's Office? Bursar's Office? Grounds Department?
 - Are there other individuals in the same setting that hold the same title? What impact will the reclassification have on these jobs?
 - What are the reporting relationships?
- Classification Standards for the title the employee currently holds and for the title to which a request for reclassification has been made (if known)
 - How do the incumbent's duties compare to the criteria in the standards? What aspects need to be clarified in the audit?
- Duties descriptions for other positions in the same unit
 - Understand who does what in the unit; this will help in clarifying the scope of responsibility of the position in question.

2. Plan the Audit

- Prepare Questions for the Audit: Referring to the information gathered above, prepare a list of written questions that will be used as a guide throughout the job audit.
 - *Factual information that can be obtained from other sources should not be sought during job audits.*
 - *Anticipate questions that may be asked by C&C.*
- Select a Methodology for the Audit: There are several ways to gather information during the audit; it is often appropriate to use more than one of the following:
 - Line-by-line review of the duties description (this is typically used when the duties description contains ambiguous language and/or is very brief).
 - Pre-determined questions. All audits will consist of predetermined questions; however, when a duties description is well-prepared before the audit, predetermined questions can focus on specific areas in need of clarification.
 - Walk-through of the work site or organization. A great deal of information about a job can be obtained by actually seeing the setting in which it is located and the tools and machinery used.
- Make appropriate Arrangements:
 - Give adequate notice of the need for, and purpose of, the audit. Work with supervisors in scheduling the audit with the least disruption to the work of the unit. Time can often be saved by asking the supervisor to give you an initial tour and explanation of the office, plant or facility and its equipment, together with an idea of how the work flows through it.
 - Indicate what location would be most suitable for the conduct of the audit. It is preferable to conduct the audit at the employee's workstation; however, some privacy is also required. If needed, ask for a private space such as a conference room for the conduct of the formal portion of the audit and then also plan a walk-through of the actual work site.
 - If a line-by-line interview is planned, be sure the employee has a copy of the duties description beforehand.
 - Tell the employee what types of work samples and/or machinery you would like to see while you are there so they are available when you arrive.

Conducting the Audit

1. Auditor Guidelines

- Tell the employee who you are and the purpose for the audit.
- Put the employee at ease. Most people are very nervous when someone from "Personnel" comes to talk to them. Be professional but friendly. Make casual conversation for a few minutes. Smile.
- LISTEN. The majority of the talking should be done by the person being audited. Ask questions that require more than a "yes" or "no" response.
- Take notes. Notes should be brief but clear so that you will be able to write an audit report and/or a duties description. However, throughout the interview it is important to maintain significant eye contact.

2. Ask Purposeful Questions that will clarify key classification factors. For example:

- Lines of authority: who is in charge of what? Who sets priorities? Who supervises who?
- What relationship does this position have with regard to others in the unit?
- Manner in which work is assigned to the employee, e.g.,
 - In what form is the work received?
 - What has been done to the work before it is received?
- What specific tasks are performed to complete the assignment?
- What methods, processes or practices are used to perform the tasks? Are these outlined in specific guidelines or must the employee use some judgment, choose between alternative options, or take initiative to complete the assignment?
- What laws or policies must be observed? What guidelines are available for implementing these requirements?
- What does the final product look like?
- At what stage of its completion is the work reviewed and passed on to the supervisor?

- What review does the work receive by others? By whom? For what purpose?
- What is the final disposition of the work?
- On what matters is the employee required to exercise independent judgment or discretion?
- Sources of Advice: with whom or what is consultation made in carrying out assignments?
- If the position has supervisory responsibilities, what do these entail and what percentage of time is spent on supervision?
- What are the consequences of mistakes or errors by the employee?
- If machines or equipment are used, inquire as to their operation.
- Amount of time spent on each activity.

The documents in Appendix L and Appendix M contain questions and areas of inquiry that are appropriate to use in a job audit.

3. Follow-up Questions

Ask questions that promote clarification and explanation by the employee:

- What do you mean by....?
- Tell me more about ...
- Do you mean ...? (and state what you understand the person to have said)

Closing the Interview

- Ask the person if all of their duties have been covered.
- Thank them for their time.
- Do NOT offer your opinion as to whether or not the reclassification is appropriate or what job title you think would be most appropriate for the employee's job.

Follow-up with Supervisor

Prior to the audit, arrangements should be made with the direct line supervisor to meet immediately following the audit to:

- Confirm the incumbent's primary duties and responsibilities;
- Confirm the nature of supervision received by the employee and the degree to which the employee requires instruction in the performance of duties and/or the degree to which the employee functions independently;
- Clarify any discrepancies or new information that may have been mentioned, e.g., statements regarding supervisory responsibilities that were not reflected in the duties statement, etc.

Documentation

Following completion of the audit, a narrative report should be written. It should describe, in detail, what work is done, how it is done, what tools and resources are used, and the nature of the supervision that is received from the supervisor and also given to subordinate staff. It may be useful summarize the following information in the header of the report rather than including it in the narrative:

Job Audit Report

Incumbent: (name)

Current Title: (title, salary grade, item number)

Location: (Division name, Bureau name, Unit name)

Supervisor: (name, title, salary grade)

Date of Audit:

Auditor: (name and title)