



UT Tyler
THE UNIVERSITY OF TEXAS AT TYLER

Internal Audit Department

April 24, 2024

Dr. Kirk Calhoun
President
The University of Texas at Tyler
3900 University Blvd.
Tyler, TX 75799

Dr. Calhoun,

We have completed the Review of Employee Job Description Filing Processes Audit as part of our Fiscal Year (FY) 2024 Audit Plan. The objective of this audit was to perform a detailed review of the current processes within Human Resources for collecting, filing, and retaining a signed job description for each University of Texas at Tyler (UT Tyler) employee and the ability to make these available upon request. The scope of the audit included UT Tyler employees from September 1, 2023 through March 01, 2024. Physicians and Faculty were excluded from the audit selections, as these individuals fall under the credentialing process handled outside of Human Resources.

This audit was conducted in accordance with guidelines set forth in *The Institute of Internal Auditors' International Standards for the Professional Practice of Internal Auditing* and Generally Accepted Government Auditing Standards. We appreciate the assistance provided by management and other personnel and hope the information presented in our report is helpful.

Sincerely,

Stephen Ford
Vice President, Chief Audit Executive

Enclosure

cc:

Dr. Julie Philley, Executive Vice President, Health Affairs, Vice Provost
Mr. Dwain Morris, Executive Vice President, Administration, Chief Business Officer
Dr. Amir Mirmiran, Executive Vice President, Academic Affairs, Provost
Mr. Daniel Deslatte, Senior Vice President, Business Affairs, Chief Operating Officer - Health Affairs
Ms. Cindy Scott, Senior Vice President, Human Resources, Chief Human Resources Officer
Dr. Archie L. Holmes, Jr., UT System Executive Vice Chancellor for Academic Affairs
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Review of Employee Job Description Filing Processes Audit



April 24, 2024

INTERNAL AUDIT DEPARTMENT
3900 UNIVERSITY BOULEVARD
TYLER, TEXAS 75799

The University of Texas at Tyler
Review of Employee Job Description Filing Processes Audit

AUDIT OBJECTIVE

The objective of the engagement was to perform a detailed review of the current processes within Human Resources for collecting, filing, and retaining a signed job description for each UT Tyler employee and the ability to make these available upon request. Physicians and Faculty were excluded from the audit selections, as these individuals fall under the credentialing process handled outside of Human Resources.

CONCLUSION

This audit identified areas for improvement related to the Employee Job Description Filing Process as described in the observations below:

This audit identified the following opportunities for improvement		
1	High	<i>Develop a Written Departmental Policy and/or Process(es) for Job Descriptions</i>
2	Medium	<i>Ensure Employees have Required Licenses/Certifications per Job Description</i>
3	Medium	<i>Ensure Job Descriptions are Accessible to Employees and Supervisors</i>

#1: Develop a Written Departmental Policy and/or Process(es) for Job Descriptions

High: Lack of consistent procedures for job description filing processes could increase the risk of a lawsuit if an employee were held accountable for responsibilities for which they were not made aware of.

Currently, the UT Tyler Human Resources (HR) Department does not have a departmental policy and/or written process(es) that specifies the requirements for maintaining and making job descriptions available upon hire and throughout an employee’s employment. Currently, UT Tyler HR has differing requirements for Health Science Center (HSC) and Main campus, including whether job descriptions are required to be signed and accessible to employees and their supervisors based on this designation.

Opportunity for Improvement #1: UT Tyler HR should draft, implement, and provide training on this written policy and/or the process(es) regarding job descriptions and expectations for all of UT Tyler.

Management Response:
Agree with recommendation.

Human Resources (HR) will develop internal written procedures to outline the processes regarding job descriptions. Training will be included for internal HR staff and included in future training with external departments.

During the ongoing integration of UTT Main and UTT HSC, HR will align current practices of drafting job descriptions for both campuses. The transition to PeopleSoft UTShare will allow HR to evaluate the use of Performance Manager, electronic processes within the PS Shared environment and other 3rd party vendor options.

Currently job descriptions are required before positions are submitted to the Position Review Committee (PRC). UTT HSC files employee job descriptions in Performance Manager and employee files. UTT Main tracks and files employee job descriptions in HR Shared electronic

files. Employees and managers currently have access to their job descriptions, HR sends the most recent document to the employee or supervisor upon request.

Responsible Person(s):

SVP of Human Resources, CHRO
Director of Compensation

Anticipated Implementation Date:

Ongoing revisions with final implementation in August 2025

#2: Ensure Employees have Required Licenses/Certifications per Job Description

Medium: An employee hired without the required license/certification, as specified in the job description, could potentially be in violation of regulations and/or unable to perform their job duties, as required.

Testing revealed that 3 of the 25 employees selected for testing did not have the required license/certification verified, as required in the job description. It is noted that two (2) of the exceptions were for a required driver's license, and the other noted exception was for a required Satori Alternatives to Managing Aggression (SAMA) certification. HR communicated that this job description should not require the SAMA certification for this employee and the job description would be modified.

Opportunity for Improvement: UT Tyler HR should ensure that every employee has the required license/certification, as required per the job description, or consider modification of the job description if the license/certification is no longer required to perform the duties of the job.

Management Response:

Agree with recommendation.

HR works closely with department managers and leaders to ensure existing job descriptions are accurate in regards to certification/licensing requirements for the position.

HR monitors monthly and informs employees and managers, and department leaders of expiration dates and to ensure employees maintain required current licenses/certifications specified for each position.

HR will evaluate job descriptions that require a driver's license to confirm there is a business need. Some positions are no longer required to drive vehicles as historic business practices have evolved.

The SAMA certification requirement was not required for the new position within the Smith County Jail. This is a new contract obtained by UTT HSC and the position requirements are still under review as the institution acquired employees from a third-party contract.

Responsible Person(s):

SVP of Human Resources, CHRO
Director of Compensation

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Director, Human Resources, Training & Compliance

Anticipated Implementation Date:

Ongoing revisions, adjustments and confirmations, processes already instituted.

#3: Ensure Job Descriptions are Accessible to Employees and Supervisors

Medium: An employee may not know their full job duties and responsibilities or be able to periodically assess one's performance if the job description is not accessible and has not been provided and acknowledged by the employee.

From a sample selection of 25, the Internal Audit Department noted that 13 (all UT Tyler Main campus employees) did not have job descriptions accessible to the employee or their supervisor nor were signed job descriptions on file with the employee's acknowledgement of job responsibilities. HR communicated that there are no regulations requiring signed job descriptions for UT Tyler Main campus employees. HR communicated that UT Tyler HSC employees are required to have signed job descriptions on file due to Joint Commission and these signed job descriptions are accessible to employees

and their supervisors through Performance Manager. HR communicated that there is currently no functionality allowing UT Tyler Main campus employees or their supervisors to access and review job descriptions online.

Opportunity for improvement: Tying in to Opportunity #1 above, UT Tyler HR should consider developing a method to ensure all job descriptions for UT Tyler employees and their supervisors are signed and accessible to the employee and their supervisor for their review in order to establish a consistent process across the Institution.

Management Response:

Agree with recommendation to consider aligning processes across UT Tyler.

During the ongoing integration of UTT Main and UTT HSC, HR has already required that job descriptions are reviewed and updated prior to submitting to Position Review Committee. HR will continue to align current practices of drafting job descriptions for both campuses. The transition to PeopleSoft UTShare will allow HR to evaluate the use of Performance Management, electronic processes within the PS Shared environment and other 3rd party vendor options.

Responsible Person(s):

SVP of Human Resources, CHRO
Director of Compensation

Anticipated Implementation Date:

Ongoing review, revision and implementation through August 2025

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Review of Employee Job Description Filing Processes Audit

BACKGROUND

Job Descriptions serve as a general guideline for state agency use. They outline the general duties and responsibilities of each position, define the levels of responsibility and supervision, and give examples of work performed. HR is responsible for managing job descriptions. Job descriptions are also the standard to which employees are held accountable to for annual evaluations.

Agencies may identify specific certifications that are either preferred or required by their particular agency. In situations in which a particular professional or occupational license is required by law, agencies must adhere to those requirements. Agencies are responsible for reviewing job descriptions and for making necessary revisions.

The Review of Employee Job Description Filing Processes Audit was part of the UT Tyler FY 2024 Audit Plan as a risk-based audit.

STANDARDS

The audit was conducted in accordance with guidelines set forth in *The Institute of Internal Auditors' Standards for the Professional Practice of Internal Auditing* and Generally Accepted Government Auditing Standards.

SCOPE and PROCEDURES

The scope of the audit included UT Tyler employees (excluding faculty and physicians) from September 01, 2023 through March 01, 2024.

To achieve the audit objective, the Internal Audit Department:

- Reviewed applicable regulations, guidance, and Institutional policies.
- Conducted walkthroughs related to the processes around employee job description processes, including new hires, terminations, and interdepartmental transfers.
- Completed sample testing of new hires, terminations, and transferred employees.

OBSERVATION RANKINGS

Internal audit departments across The University of Texas System uses a consistent process to evaluate audit results based on risk factors and the probability of a negative outcome.

Legend	
Priority	<i>A finding is defined as an issue that if not addressed immediately, has a high probability to directly impact achievement of a strategic or important operational objective of UT Tyler.</i>
High	<i>A finding that is considered to have a <u>medium to high probability</u> of adverse effects to UT Tyler as a whole or to a significant college or department.</i>
Medium	<i>A finding that is considered to have a <u>low to medium probability</u> of adverse effects to UT Tyler as a whole or to a college or department.</i>
Low	<i>A finding that is considered to have a <u>minimal probability</u> of adverse effects to UT Tyler as a whole or to a college or department. These findings are communicated separately to management.</i>