



OFFICE OF THE
STATE AUDITOR

News Release
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**Office of the State Auditor Releases A Performance Audit
Of State Agency And Board Of Education
Compliance With Performance Evaluation Requirements**
State Entity Compliance With Performance Evaluation Rules Varies Widely

Salt Lake City, UTAH –

The Office of the State Auditor (Office) today released A Performance Audit Of State Agency And Board Of Education Compliance With Performance Evaluation Requirements.

The Utah State Personnel Management Act separates civil service positions within the state into two schedules: A and B. Schedule B is the competitive career service schedule which includes “all positions filled through competitive selection procedures”. The Department of Human Resource Management (DHRM) is statutorily tasked with establishing a career service system designed to effectively implement employee retention of high quality employees. Additionally, DHRM rules require that all career service employees receive a performance evaluation each fiscal year. State entities subject to DHRM rules are required to use the Utah Performance Management System (UPM) for career service employee performance plans and evaluations. DHRM is also required to maintain an electronic record of each employee’s information, which includes their performance ratings.

The report identified two key findings:

Finding 1: Entity Compliance With Performance Evaluation Rules Varies Widely

For the five most recently completed state fiscal years, state entities varied widely in their documented compliance with the state administrative rule. We found sufficient performance evaluation documentation for approximately 69 percent of all employees tested across 25 state entities during this test period. Specifically, of the 14,585 career service employees tested, the Office found sufficient documentation for performance evaluations for only 10,044.

Finding 2: Some State Entities Do Not Adequately Use Available DHRM Resources

DHRM rules require state entities to use DHRM’s Utah Performance Management (UPM) system for employee performance plans and evaluations. Some entities seemed unaware of this requirement. Others explained that certain “completed” employee evaluations were not finalized in UPM, which serves as the official record for all employee information, including human resource actions and historical performance evaluation data.

The report may be found on the Office's website, auditor.utah.gov. The report is available specifically at <http://financialreports.utah.gov/saoreports/2017/PA17-01PerformanceEvalReqStateofUtah.pdf> .

About the Office of the State Auditor

The Office of the State Auditor provides Utah taxpayers and government officials with an independent assessment of financial operation, statutory compliance, and performance management for state and local government.

Specific activities of the Office include performing financial audits, conducting Federal funds compliance audits, providing local government oversight, conducting agency and program performance audits, performing fraud and compliance audits, and operating the State Auditor Hotline for citizens to report suspected financial issues or improprieties. These capabilities strengthen Utah State Government and help taxpayers have confidence in the integrity of Utah's government agencies.

The State Auditor is a Constitutional Officer of the State of Utah, elected directly by the state's citizens every four years. The role of the State Auditor is authorized in Article VII, Section 15 of the Utah Constitution. For more information, see auditor.utah.gov.

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