

AUDIT QUESTIONS

Following are examples of types of audit questions to consider. These questions are not all inclusive, nor should they all necessarily be asked. Select the types of questions that will help determine the complexity of the position, the knowledge, skills, and abilities required to perform the job duties, etc. The questions are broken out by general questions, the scope and impact of a position's duties, the complexity, the consequence of error, the effect of action, the knowledge and skill required to perform the duties, the nature and purpose of contacts of the position with agency staff, other agencies, or private sector, the discretion and accountability of the position, and the surroundings and hazards of the positions.

1. General:

Is your position description (PD) accurate? If not, what should be changed?

Back in February of 2019, at the direction from DOA "as a part of the reallocation effort", my PD was revised. Is it accurate right now? Sort of because it was recently revised but there are responsibilities that were taken out of my new PD that I still routinely perform and there are also a few responsibilities still missing from the new PD that I perform.

Responsibilities taken out that I still perform:

- Schedule shredding of confidential files (Part of 10% category on old PD)
- Oversee inventory of paper, printing and mail supplies and establish priorities to meet deadlines (Part of 10% category on old PD)
- Maintain Procurement Card (5% on old PD)

Other Changes made to PD:

- Manage the fleet vehicle pool program (was 10% on old PD, now is 20% on new PD)
- Added "order repairs and oversee general maintenance on vehicles"

Responsibilities performed not included on old or new PD:

- Direct, plan and coordinate outside printing projects. This is done on a regular basis for both the City of Madison and Dane County Departments.

It doesn't seem to be regular practice for the County to review and revise PD's unless a reclassification or reallocation is accepted. It would be interesting to know how many PDs Employee Relations have accepted that didn't include an approved reclassification or reallocation, not including new positions that will be hired.

How long have you been in your present position?

I was originally hired by Dane County on April 23, 2001.

Technically speaking, I was in the PD dated 3/31/07 from December 10, 2006 until the new position description was revised 2/25/2019. So I have been in the new PD from 2/25/2019 until the present.

Provide an overview of your work unit and program area. How many people work in your unit?

Printing

An overview of the work unit and program area consists of providing production printing and fast copy printing services to all Dane County departments and a good share of City

of Madison departments. This includes reports, brochures, manuals, forms, envelopes, postcards, and notices.

I also provide coordination and purchasing of various printing projects from outside vendors which includes projects such as posters, banners, yard signs, and other printed projects that are either too large in size or require a quantity that cannot be done in house.

All paper products including print paper, copier paper, and envelopes are purchased through my position. We order roughly 50 pallets of paper and over 1,000,000 envelopes per year.

I provide County departments with copy machines along with the required service calls, maintenance, updates, and equipment supplies and paper supplies. Right now, there are 76 total machines throughout the County that I oversee. This is up drastically from the year's past.

Mailroom

We process outgoing mail for all Dane County departments and most City of Madison departments. The average number of pieces of mail processed and sent out each day is approximately 4,500 (over 1.1 million pieces per year). Types of mail processed includes absentee ballots, postcard and various notices (Sheriff and Court System), UPS packages, certified mail, and inter-D. I coordinate and supervise the 3 daily designated mailroom routes for picking up and dropping off mail and print jobs to departments.

Billing

My division bills end users for print jobs and mailing services. I am responsible for managing and overseeing the billing system within Printing and Services. If there is an issue that arises, I will likely be the first one to receive a call about it and begin resolving the issue.

Fleet Vehicles

I research, recommend and purchase County vehicles for the Facilities Management Department, County Executive's Office, Printing and Services Department, and general fleet vehicles for County staff to utilize when requested. This includes coordinating repairs and all maintenance on these vehicles.

Staffing

There are 7 full time staff and 1 LTE staff in our department. I supervise 7 people total which includes vacations, sick leave, etc.

Is there anyone else performing similar job duties? If so, on what basis are assignments made to different people or how is the work divided?

There are other directors, managers, and supervisors that have similar job duties in regards to supervising staff but there is not anybody else in the County (or the City) that

has the same job duties or expertise as I do in regards to printing, mailing and shipping. I have compiled a list of some of these manager positions that were not previously researched and compared by Employee Relations. Employee Relations previously only compared my position to other M8 positions while failing to compare my M8 position to other higher pay range positions that have job duties and responsibilities that are similar and comparable. This list includes approximately how many staff members are supervised and whether that position is the head of a department/division, which I am. You will see that a good share of these manager positions are not department/division heads and around half of them supervise less people than I do on top of my specific job duties yet most of them are in at least an M11 pay range. This includes manager positions that are within the Admin Department. Per the Organization Charts, I am supposed to be on the same or at least similar level as some of these other managers in Admin. The pay range doesn't appear to be equal though.

Do you deal with confidential/sensitive information in your position? What is the nature of that information?

Yes, many print projects are completed for the Sheriff's Department, Madison Police and the District Attorney's Office which are both confidential and sensitive due to the nature of the content (crime scenes, police planning, court case documents). Employment tests are printed for the City of Madison HR Department.

Mailing services containing confidential information is provided on a daily basis for Child Support and Madison/Dane County Health.

I coordinate the shredding services for all county departments. These shredding services are for departments who also deal with confidential and sensitive information.

Describe your job duties in your own words.

My job duties are to oversee all parts of Printing and Services which provides a relatively wide net of services for all County departments as well as the City of Madison. The "Printing" in Printing and Services speaks for itself for the most part, but the "Services" side includes fleet vehicles and maintenance, mailing and shipping services, copier and copy repair services. I am the manager of one of the few departments within the County that provides services to just about every department in the County. I have extremely good relationships with department managers and staff members across all County departments and City departments because it is understood that we are here to provide services to these departments and we strive to provide those services at a high level and in a timely manner.

2. Scope and impact:

What is the scope of your authority?

I have authority to make purchases such as equipment, copiers, services plans as needed and as allowed by the approved budget. I also have authority in regards to reviewing and approving vacation time and sick leave for staff.

Do you make decisions that do not require higher approval and that generally are not reviewed? Provide an example.

Many of the operation policies for printing and services are decided by me without higher approval. An example of this would be the manner in which we receive print projects. We designed and created a website workflow that increases the efficiency in which we operate. The workflow includes requirements and restrictions in regards to formatting and job completion time. This was developed and implemented without higher approval.

Another example would be the decision of which outside vendor is utilized for outside printing jobs. I have the best understanding of which types of projects should go to specific vendors. This is not typically something that is run by the person or department providing the project request nor is it ever reviewed or approved by anybody above me.

How often does this occur?

We are constantly reviewing and analyzing our processes and when a policy needs to be adjusted or changed, we are willing to do so if it makes sense from an operations perspective.

Every print job that is received is reviewed to see if any changes can or should be made to increase the quality and completion time of a job.

Do you have the authority to change results, or do you recommend, or do you coordinate requests?

3. Complexity:

How does your position receive its work?

Work is received via email, online printing requests, and sometimes in person depending on the urgency of the project. Often times, when a project is received, I will follow up with an email or a phone call because I hold a strong understanding and knowledge how a job should be handled due to the complexity, detail, timeline and capabilities required for each project.

What type of instruction is given at the time you receive your assignments?

It depends on the type of the job. Some are very straight forward such as business cards or repeat envelope runs but many of the one-time print projects require additional discussions with the requestor because the requestor often doesn't understand how the printing process and industry operates. I am very particular in making sure that the final product is exactly what the requestor was hoping for. Mailing and shipping situations can be very similar depending on the sensitivity and urgency of what is being mailed.

How do you decide what is to be done and how it is to be done?

Is your work well defined by statutes, regulations, and clearly established office policies or guidelines?

The majority of my work is not defined specifically by statutes or ordinance other than purchasing thresholds. We use state contracts for paper and supplies while bids are received in other scenarios when applicable.

What manuals or guidelines exist that are of value or assistance in the performance of your work? Provide an example.

Some guidelines exist for mailing and shipping which are usually provided by the mail carrier. For printing, there are no manuals or guidelines to follow. While reviewing incoming projects, my 40+ years of printing knowledge and having an understanding of what our capabilities are and what outside vendor capabilities are provide the foundation for making the proper decision. Understanding print projects and operating print presses, production copy machines and the other various printing equipment is not a skill that just anybody possess. A normal person who has no background in printing cannot walk up to our machines and operate them correctly. In fact, without proper knowledge and expertise, some of our machines can be dangerous to operate.

I do not have a specific example because there are no manuals or guidelines provided by Dane County.

For those aspects of your work where no manuals or guidelines exist, how do you decide how to proceed? How often does this occur? Provide an example.

I analyze every incoming project using my printing knowledge and expertise to determine the best way to complete the job. This occurs on a weekly basis and often times on a daily basis multiple times in several jobs come in all at once.

What do you consider your most complex job duties?

In general, supervising staff can be the most complex job duty because every supervisor is trying to apply rules and policies evenly while working with different personalities. You have to understand how to deal with different people in every different scenario that pops up. No two days are alike and you never know what type of mood somebody might be in. Supervisors have to make unpopular decisions for the sake of the County and/or for operational efficiencies. Alongside supervision is analyzing and creating a path of completion for each print job that comes through. What type of paper fits the project best? What type of binding should be used? Is the formatting on the draft document correct? Should the size of the document be smaller or larger? Is there bleed or no bleed? What other jobs are currently in process? How quickly can we realistically get this done compared to what is being requested, etc.

4. Consequence of error:

How is accuracy measured?

Accuracy is very important in my position since we issue billing to our end users. There are many variables that need to be tracked such as mail returned due to address, incorrect postage. Absentee ballots need to be mailed in a very precise manner along with cancelled ballots. I compile reports to track and measure these accuracies.

What are the consequences of making an error?

The consequences would vary depending on the error. For example, an error with election ballots can create a situation where the City Clerk has to go through their process of cancelling out ballots and then reissuing already time sensitive ballots which creates additional tracking and costs. Errors with election ballots can also create uncertainty and distrust from the constituents. An error with ballots would obviously be a bigger issue than finding an error on a business card project but there is a cost associated with every error.

How can an error be corrected?

5. Effect of action:

Whom does your work impact?

My work impacts a large population including County departments, City departments, organizations, residents, visitors, elected officials, people that are being charged with crimes, people that have committed crimes, etc. There are a lot of court documents which can impact the Sheriff Department, Jury Clerk, District Attorney's Office, Clerk of Courts, etc.

Does your work result in a finished product? If so, what is it used for? Who reviews it and to what extent?

Yes, there is almost always a finished product when it comes to printing. Finished products include business cards, posters, ballots, informative flyers and mailings just to name a few. The finished product for the mail room is making sure that each piece of mail is delivered to where it needs to be. That includes outgoing mail through the post office, UPS, and inter-D. Another example of the finished product is my staff being at the right place at the right time to pick up and deliver mail. I'm in charge of this process working thoroughly and smoothly. Nobody reviews this work, I am the last line of defense and the first one to begin working on a resolution when a problem arises.

The finished product for fleet vehicles is a vehicle that is working and in the rotation. If there is a repair that is needed, I have to get it fixed in order to get it back into the rotation of fleet vehicles. This is not typically reviewed by anybody either.

Do you have responsibility for developing and implementing policies? Please note: This is different from recommending changes to policies and procedures.

I am responsible for developing and implementing the policy for when mail is picked up and delivered to the Courthouse along with how many times per day. I developed a specific policy for tagging and sorting mail which utilizes a barcode scanning system for each City and County department to ensure accuracy and account for all mailroom charges. I have established the process and policy for incoming print jobs. The policies are very specific in order to gain as much information about the project. The amount of print projects can vary day to day so it's important to always have an understanding of how long a project might take in the event an urgent project comes in. This includes the online printing system that was implemented.

6. Knowledge, skills and abilities:

What special knowledge is required to perform your job duties? Provide examples of how this knowledge is used.

Special knowledge and skills are required for all aspects of printing including paper types, bindery, cutting techniques, formatting and operation of all equipment from a copy machine to a production machine. When all aspects of printing are combined, the correct path to complete the job needs to be mapped out in order to provide the end product in a timely manner, at a high level of quality while being the most cost effective.

Example 1: Project is submitted for 10,000 color brochures. Do we print this inhouse on the production copier or do we send it to an outside vendor who is capable of 4 color process printing? Do we use our files and do we also fold the brochure? Does everything line up and are the graphics crisp? What weight of the paper is going to be used if the brochure will be folded? Also, how are these going to be mailed out once they are completed? Is USPS going to be used or is UPS going to be used? What is the most cost-effective plan? That's what I do for every print job that comes in and I have the ability to do it very quickly.

Example 2: A department staff member brings a package down and says this needs to be delivered to the designated location no later than tomorrow. How would you go about sending this out? Should UPS overnight be used or is USPS Priority Ok? USPS Priority might be there tomorrow but could actually take 2 days. Also, does the package need to be sent as certified mail? Are any of the additional charges worth it to make sure the package arrives in time? I've had to send mail out this way to the Federal Government many times.

Example 3: What vehicles are needed when updating the fleet? What are the options to make sure there is enough room while being conscious of gas mileage? Will the vehicle fit the need? Is there a utility van wide enough to fit all of the tools for the electricians or painters? What are their needs and what are the options available through contract? Is there a hybrid options available or a CNG option, etc.?

Example 4: I have the ability to know the limitations and capabilities of copy machines. I also have an incredible understanding of whether a machine should be leased out or purchased outright and whether a service plan package should be purchased or not. I also figure out what the needs are for the department that will be getting the machine. There's a cost associated with every different option and package that is chosen. I would not get the same copy machine for the District Attorney's Office as the Clerk of Courts. The workloads differ, there's a need to sort by employee and the bindery unit that gets installed would need to be different. The average person would not be able to make the most cost effective and efficient decision without this specific knowledge on copiers. I am not a certified Ricoh copy repair technician but I have saved a lot of money and down time for almost all departments at some point in time by diagnosing and fixing an issue on my own without having to make a service call. This of course is after the department staff likely tried fixing it and couldn't resolve the issue.

What special skills are required to perform your job duties? Provide examples of applicable skills.

The answers above provides an answer and combines knowledge and skills.

What licensure, certification, or registration is required to perform your job duties? In what parts of your job duties is this required?

WI Driver's License

7. Nature and purpose of contacts:

To what extent is public contact involved in your position and what types of persons do you deal with (i.e., general public, other state agencies, local government, legislators, private businesses, deans, chancellors, etc.)?

I work with local government on a daily basis. This is mostly the City of Madison and of course Dane County departments. On occasion I will work with the State of Wisconsin as our USPS mail is now combined with State mail as a cost saving strategy. We also deliver inter-D to the State on a daily basis. Also, I work with the staff and judges at the Dane County Courthouse delivering mail and printed material as requested.

Private businesses that I work with on a weekly basis includes Kayser Ford and Ken's Automotive for vehicle maintenance and repairs, Sprint Print, Thysee Printing, American Family for outside printing services, USPS, UPS, Endicia for mail carrier services, and Ricoh for copiers and production equipment.

What are the nature, purpose, and tone of these contacts?

I am very confident that I represent Dane County in a professional and positive manner when working with internal contacts as well as the external contacts listed above. I would be more than happy to provide references if necessary.

To what extent does your position require interaction or coordination with other units in your department?

As previously stated, my position requires interaction with virtually every Dane County Department including other divisions within the Administration Department (Controller's Office, Risk Management, Facilities Management, Employee Relations Information Management, Consolidated Food Services, and Payroll) whether it's for printing or mail services.

I oversee the vehicles for Printing and Services, Facilities Management, the County Executive's Office, and the general fleet.

All copy machines, whether leased or purchased outright, are under my supervision. This includes maintenance, service calls, paper supplies, and accessories.

What are the nature, purpose, and tone of these contacts?

8. Discretion and accountability:

What methods, processes, and procedures do you use to get your work done?

How much instruction, advice, and counsel do you receive as you are completing your assignments?

Each staff member that I supervise has been trained on how to perform daily tasks which includes specific procedures. Since I started with the County, many of the procedures have been changed, tweaked or revised for efficiency purposes. My position is basically an internal customer services division whether it be for fleet vehicles, mail or print jobs and I believe I understand how to run my department while providing a high level of customer service. There isn't necessarily one specific method or process that I use to get my job done on a daily basis. It's about understanding what is needed, what is being requested, what problem to diagnose, and then providing the proper customer service to meet the need.

I do not receive instruction, advice, or counseling on a regular basis, in fact, it happens very rarely throughout any given year. When it comes to printing and mail services, I'm not aware of too many people within the County that can contribute specific instruction, ideas, or creativity to my daily job duties. Typically, County and City staff members are seeking my advice on how to go about printing a specific job or mailing an item.

Are you responsible for independently taking an action to approve or deny a request? Provide an example.

Yes, due to the policies that I have put in place for receiving print job requests, there are plenty of times where a request will be denied if the proper information is not given or if a file is not formatted correctly. I will always attempt to work with the requestor in order to resolve the issue but it doesn't always happen. There are also times where a job is requested to be completed in a timeframe that is unrealistic.

Vacation requests are reviewed and then approved or denied accordingly for the staff members that I supervise. I've denied vacation requests this year because it would put the department in a situation where there aren't enough staff members to cover all of the necessary tasks.

Provide an example of a problem that may arise in your office.

Most of the issues that arise in the office come from incoming projects, whether it's mailing or printing. For printing, the usual issues are incorrect file types or the timeline in which somebody wants a job completed. Mass mailings can create a situation where it can be difficult for all tasks to be completed during the day. These problems are resolved by working with the requestor to provide the correct and proper information. Often times, I am coaching them on where to find the proper information or how they can obtain the proper information that I need on the printing side of things.

What types of problems would you resolve?

What types of problems would you take to your supervisor?

Personnel issues are mainly the only problems that I take to my supervisor. This is a very rare occurrence as the issues are typically worked out within the office first.

Do you have authority to act on your supervisor's behalf in his/her absence? Provide an example.

This situation has not occurred in the 18 years that I've been with the County and I don't foresee it happening either.