

COUNTY OF LOS ANGELES
DEPARTMENT OF HUMAN RESOURCES
POLICIES, PROCEDURES,
AND GUIDELINES



NO. 180

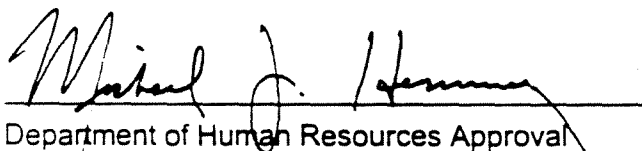
DATE: February 19, 1999

DELEGATED EXAMINATION PROGRAM
SELF-MONITORING GUIDELINES

In compliance with Civil Service Rule 3.03, departmental delegated examination programs are subject to periodic audits by Department of Human Resources (DHR) staff to verify line departments' adherence to the terms of delegated agreements and policy guidelines. To ensure compliance with the Civil Service Rules, County, State and Federal employment regulations, and the Board's instructions, DHR has developed guidelines and procedures by which departments and districts conduct "self-audits" or "self-monitoring" of their examination programs. These guidelines assist departments' with reviewing their own examining operations on an ongoing basis, identifying any problems or deficiencies, and implementing corrective actions as necessary. They also assist DHR in its review of a line department's delegated examination program operations to assure adherence to applicable codes, policies and regulations.

The "spirit" of merit system recruitment and selection programs can be expressed as follows:

- 1) An examination shall be selective. That is, a reasonable and appropriate effort is made to recruit qualified candidates, and candidates with the highest measured qualifications are offered employment.
- 2) An examination shall be fair. That is, all candidates have equal opportunity to demonstrate their qualifications under the same conditions and are assessed according to the same standards. No candidate is treated with prejudice, and no candidate receives a special advantage or disadvantage in the way the examination is designed, administered or scored.
- 3) An examination shall be job-related. That is, the examination assesses factors that are indicative of success on the job and does not assess factors that are irrelevant to job success.


Department of Human Resources Approval

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It is not the intent of these guidelines to provide step-by-step methods for conducting exams. Such information is available in other specific guidelines included under Section 100 of the Human Resources Management System Policies, Procedures, and Guidelines Manual. Instead, these "self-monitoring" guidelines offer a means for line operations staff to review the basic conditions for valid, fair examinations which comply with legal requirements and professional standards for selection. The procedures outlined below act as reminders to staff of the more common, but critical, essentials to observe when they develop and administer their exams. In addition, the use of these procedures may reveal a need to develop or modify controls to ensure that delegated exam programs function appropriately.

The "self-monitoring" methods included in this guideline are in the form of a checklist which covers three areas:

- A. Examination Records
- B. Facilities and Security
- C. Exam Management and Supervision

Staff administering delegated examination programs are encouraged to refer to the checklist during and after examinations are conducted. A one-page checklist summary and a Self-Monitoring Checklist Form (Attachment A) are provided for your convenience to document your review of examinations. These reviews should be conducted at least annually and made available to the Department of Human Resources staff upon request.

A. EXAMINATION RECORDS

A.1 Exam Log

___ Is there an examination log with the following contents for all exams bulletined in the past five (5) years?

- a. Each examination number, title, and bulletin number;
- b. Bulletin posting date and the last date for filing applications;
- c. Examination promulgation or cancellation date;
- d. Examination Type, i.e., Open Competitive (OC), Departmental Promotional (DP), Interdepartmental Promotional (IP); also, whether the exam is a standard, which results in an eligible list, or an eligible register; and

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A.1 Exam Log (cont'd)

- e. Examination parts and weights, i.e., written test, interview, appraisal of promotability (AP), rating from record (RR), or performance test.

A.2 Applications

___ **Are applications date/time stamped to indicate when received?**

___ **If a department-designed application is used, does the form meet the following requirements?**

- a. Provides instructions for completing the application and disclosing any conviction records;
- b. Includes an equal employment opportunity questionnaire; and
- c. Shows the department name prominently printed on the application, as well as the mailing address of the departmental personnel office or another specially designated departmental office or post office box.

___ **Are equal employment opportunity questionnaires removed from each application prior to screening or rating applications?**

___ **Are received applications complete?**

- a. Each application is signed;
- b. Exam title and number agree with the bulletin;
- c. Social Security Number is indicated;
- d. Education and job history information is completed; and
- e. Licensing and offense record information is completed.

___ **Are applications marked and initialed by an authorized person for meeting, or not meeting, the Minimum/Selection Requirements, or other requirements specified on the bulletin or in the Civil Service Rules governing applications? If an application is rejected, is the reason for rejection noted or coded on the application?**

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A.2 Applications (cont'd)

___ **Do accepted applications meet the following acceptance criteria when applicable?**

- a. If a promotional exam, candidate has promotional rights;
- b. Candidate is not re-applying for the exam without waiting for the required re-take interval to elapse;
- c. Candidate meets any bulletined accredited college or university education requirements (the college or university is listed in a recognized published listing of accredited educational institutions, including foreign institutions; or has been verified as an accredited institution by a recognized accrediting agency through documentation provided by the applicant);
- d. Candidate meets any bulletined certification or licensing requirements;
- e. Candidate meets bulletined Minimum Requirements (if there are a variety of options with experience in more than one field which requires different knowledge and skills for meeting the Minimum Requirements, applications that are accepted must meet the requirements under at least one of the options — **not** under a combination of education and/or experience obtained from more than one option);
- f. Candidate meets bulletined Selection Requirements (requirements must be job related based on business necessity, stated explicitly and unambiguously, and be uniformly applied. Selection Requirements must **exceed** the Minimum Requirements found on the class specification. They must never be lower or more general than the official Minimum Requirements); and
- g. "Out-of-class" or "acting" experience that meets the Minimum/Selection Requirements is documented by a duties verification letter documenting out-of-class experience approved and signed by the Personnel Officer, or authorized representative.

___ **Are applications and related application materials (verification of experience/out-of-class letters, transcripts, etc.) sorted by examination, accepted, rejected, and arranged alphabetically by candidate's last name?**

___ **Are applications kept for examinations for a period of at least two years from the date of promulgation of the eligible lists?**

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A.3 Specimen Folders/Story Folders

A specimen folder must be prepared for each examination. This folder documents the processing of applicants through the entire examination. On an as needed basis only, it may be combined with the story or history folder, which contains the history of all exams administered under the same class title and item number, due to space constraints, test security requirements or other limiting factors.

___ Is a specimen folder assembled for each examination which documents the processing of applicants through the entire examination?

___ Does the specimen folder contain a copy of the class specification for the exam being conducted?

___ Does the specimen folder contain an exam bulletin prepared according to the policies, procedures, and guidelines for exam bulletins and containing the following information?

- a. Department name;
- b. Exam title and number;
- c. Date of posting;
- d. Salary range or rate;
- e. Opening and closing dates/time of filing period;
- f. Where and how to submit application and any supplemental application information;
- g. General description of essential duties and responsibilities;
- h. Minimum Requirements or Selection Requirements;
- i. Examination topics, parts, and percentage weight of parts in determining final score;
- j. Statement, if applicable, whether or not out-of-class experience will be accepted and if applicants must meet the established requirements at the time of filing or within six months from the last date of filing;
- k. Statement that proof of lawful employability is required;
- l. American with Disabilities Act of 1990 language; and
- m. Los Angeles County Child Support Compliance language.

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A.3 Specimen Folder (cont'd)

___ **Does the specimen folder contain the Selection Plan which includes the following information?**

- a. Job analysis which identifies the requirements to be assessed;
- b. Methods of assessment and their weights (totaling 100%);
- c. How each exam part will be used (i.e., qualifying only, qualifying and weighted, weighted only);
- d. Cut-off scores or criterion (i.e., the top-scoring candidates for a qualifying part, and whether the qualifying cut-off is designed to admit a given number of candidates on a top-down basis or screen out candidates scoring below a minimally acceptable pass point);
- e. Factoring formula for written test scores or other method for standardizing exam part scores, if available (factoring formula must state the raw score that equals 70% and raw score that equals 100%. These may be written in after the test is administered and the raw score distribution is obtained); and
- f. Notation of any changes in assessment methods or weights made after the bulletin was published.

___ **Does the specimen folder contain a summary of the recruitment strategy, the bulletin distribution and any advertising utilized if used, particularly for difficult to recruit positions/classes?**

- a. Projection of the total number of appointments expected from the eligible list;
- b. Determination of under represented gender and ethnic groups for the class within the department; and
- c. Description of the recruitment strategy to ensure staffing needs and gender/ethnic balance are addressed.

___ **Does the specimen folder contain a copy of each type of notice sent to the candidates? (One copy of each type showing date of mailing and the kind of information communicated to candidates.)**

- a. Application rejection notice indicating:
 - Date sent;
 - Exam title and number; and
 - Statement/reason of non-acceptance.

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A.3 Specimen Folder (cont'd)

- b. For assembled tests (written and interview), a schedule notice indicating:
 - Date sent (show attempts to notify candidates at least five working days before the test date);
 - Exam title and number;
 - Time and place of test, and, if possible, the time allowed;
 - Any special instructions (such as to bring a calculator); and
 - Instruction to bring the notice and a picture ID to the test site.

- c. Fail notices indicating:
 - Date sent;
 - Exam title and number; and
 - Statement of failure to attain a passing grade, and the time and location to review test materials, if materials are not copyrighted or standardized.

- d. Notice to passing candidates (eligibles) indicating:
 - Date sent;
 - Exam title and number;
 - Final score and band placement; and
 - Statement of the time and location to review test material if materials are not copyrighted or standardized.

- e. Notice of any subsequent change of grade resulting from an appeal or re-score of the exam that indicates:
 - Date sent;
 - Exam title and number; and
 - New final score and band placement.

- f. Any other informational notice to candidates, such as a notice of a change in the exam content, parts, and weights, etc.

___ Does the specimen folder contain a Report of Exam including the following information?

- a. Exam title and number;

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A.3 Specimen Folder (cont'd)

- b. Type of exam, life of list/register, weights of exam parts;
- c. Promulgation date;
- d. Date report prepared or date revised;
- e. Candidates' names (alpha order by last name);
- f. Gender, ethnic code, and veteran status of each candidate;
- g. Part grade(s), final grade, and band level of each candidate; and
- h. If a candidate is ineligible, a code indicating the reason for ineligibility.

___ **Does the specimen folder contain a record of candidates receiving late or early administrations of an examination part, and is the reason provided and consistent with County policy?**

___ **Does the specimen folder contain a record of any special accommodations for persons with disabilities that were made or denied in the administration of the exam?**

- a. Each candidate's name;
- b. Type of disability;
- c. Type of accommodation requested and date of request;
- d. Type of accommodation made and date provided; and
- e. Justification if accommodation was denied or differed from what was requested.

___ **Does the specimen folder contain a record of appeals that resulted in score changes after promulgation of the exam?**

- a. Name and Social Security number of the appellant;
- b. Nature of the appeal;
- c. Action taken and why (re-score, re-interview, etc.) and date; and
- d. Change in score and, if necessary, band placement.

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A.3 Specimen Folder (cont'd)

— **Does the specimen folder contain the required documentation of the exam's assessment methods and procedures?**

a. Rating from Records

1. Rating factors and standards;
2. Weights and method of calculating final rating score; and
3. Name and job title of rater(s).

b. Interview

1. Questions and/or discussion areas;
2. Rating factors and standards;
3. Factor weights and method for calculating interview score from ratings, if applicable;
4. Name, job title, gender and ethnicity, and board assignment I.D. of each interviewer (the job title of each interviewer must not be at the same level or lower than that of the targeted job of the exam. However, if the interview is for a classification with a specialty and higher level interviewers are not available, an interviewer in that specialty at the same level from another organization may be used);
5. Interview administration schedule(s) and interview location(s);
6. Interview board composition, showing a reasonable or overall balanced gender and ethnicity mix;
7. Interview consent form signed by each candidate interviewed;
8. Time-in and time-out data for each interviewee to indicate the amount of interview time allowed;
9. Incident log, if necessary, reporting any unusual events or occurrences during the course of an interview, indicating what happened, when and who might have been affected; and
10. Outline of the interviewer orientation and a copy of any guidelines or instructions given to those interviewing.

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A.3 Specimen Folder (cont'd)

c. Appraisal of Promotability (AP)

1. Appraisal form used, including rating standards and factors;
2. A copy of any guidelines or instructions given to the raters; and
3. A copy of any guidelines or instructions for second level review of ratings for various management level exams.

d. Written Test

1. Sub-parts and weights in calculating total score, if applicable;
2. Test administration schedule;
3. Test proctor record for each session, indicating:
 - the date and the session
 - the names of test monitors (one monitor for every 50 candidates)
 - the number of candidates admitted
 - the number of test booklets distributed and collected
 - the start and stop times of each test part
 - the number of candidates not finished at the end of the time limits (if not a speed test)
 - any occurrence of cheating, and action taken as a result
 - names of candidates who withdrew from the test after testing began
 - late arrivals admitted to the testing room and their time of admittance
 - late arrivals denied admission to the testing room
 - any unusual occurrence that may have disrupted or affected the test performance of a candidate or candidates
4. If a test is copyrighted or standardized and "not reviewable" by candidates, all test booklets shall be so marked; and
5. Test analysis of one or more items of the test materials.

e. Performance Test

1. Performance test name, and skills or abilities assessed;
2. Rating form, if used, and standards;

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A.3 Specimen Folder (cont'd)

3. Names and job titles of raters;
4. Administration and scoring procedures;
5. Test administration schedule, location and incident log;
6. Safety equipment and/or first aid equipment at the site, if applicable; and
7. Copy of notice to candidate of any potential for injury, and liability waiver to be signed by candidate, if applicable.

___ **Does the specimen folder include a job analysis summary report?** A job analysis should be prepared for each classification being examined if the classification specification or job analysis is older than five years. Subsequent specimen folders need not contain a job analysis summary each time the exam is administered.

If a job analysis summary report is included, does it contain the following items?

- a. Date of the analysis;
- b. Name and job title of the person conducting the analysis; name and job title of the person who reviewed and approved the analysis;
- c. Positions included in the analysis;
- d. Procedure followed if not elsewhere documented (i.e., in a job analysis manual);
- e. Sources of information about the job(s) used in the analysis;
- f. Name and job title of any subject-matter expert participating in the analysis;
- g. Duties of the job and their relative importance;
- h. Worker requirements to perform the most critical duties; and
- i. Linkages between the worker requirements and the critical duties performed.

___ **Are the specimen folders retained for a minimum of five years from the date of promulgation of the Eligible List/Register for the examination?** (Specimen folders may be kept longer for administrative purposes).

___ **Are specimen folders stored in a locked cabinet or closet in a security-controlled area?**

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A.4 Eligible Lists, Eligible Registers, and Certification Lists

___ **For a standard examination, is there an Eligible List which has the following contents?**

- a. Examination name and number;
- b. Promulgation date;
- c. Date prepared or revised (if a re-score was necessary);
- d. Expiration date of the list;
- e. Names of candidates who passed the exam, grouped in bands (Civil Service Rule 11.01C);
- f. Within each band, candidates names arranged in random order, alphabetically or listed numerically by Social Security number;
- g. Inactivated or withheld candidates showing the reason for inactivation and the date of inactivation; and
- h. Approval of the list signed off by the manager of the examining staff.

Note: Retain Eligible List for a period of at least five years from the date of promulgation.

___ **For a continuous filing or periodic examination, is there an Eligible Register which has the following contents?**

- a. Examination name and number;
- b. Original promulgation date of the register;
- c. Expiration date of the register if terminated, or expiration date of individual names on the register;
- d. Candidates who passed the exam grouped in bands (Civil Service Rule 11.01C) and either alphabetically or randomly ordered within bands;
- e. Names of new eligible candidates added to the register in band order and randomly interweaved within bands;
- f. Inactivated or withheld candidates noted on the list and the type of inactivation coded; and
- g. Selection procedures (assessment methods, score cut-offs, weights) unchanged since the start of the register. Any changes in the selection procedures would require start of a new register.

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A.4 Eligible Lists, Eligible Registers, and Certification Lists (cont'd)

Note: Retain Eligible Register for a period of at least five years from the date of promulgation.

___ **Is there a certification list, created either from an Eligible List or an Eligible Register, showing eligibles within reach for appointment?**

- a. Certification list disseminated to the appointing authority includes names in the top band only. If there are fewer than five eligibles available for appointment in the top band, the names of eligibles in the next highest band which includes at least five persons may be certified);
- b. Names of eligibles are ordered randomly within the band, with addresses and telephone numbers for the appointing authority to make contact; and
- c. Eligibles appointed or removed from the certification list noted on the list.

Note: Retain the certification list for a period of at least five years from the date of promulgation.

___ **Is a selective certification made from an Eligible List or Register?**

- a. The type of selective certification is indicated, such as any of the following:
 - Promotional certification from an open competitive (OC) eligible list
 - Departmental certification from an interdepartmental (IP) or open competitive (OC) eligible list
 - Proficiency in a language other than English, when required for a specific job
 - Other job-related criteria, e.g., specific kinds of job-related training or experience not assessed in the examination;
- b. Job related criterion selected was not assessed in the examination;
- c. Job related justification for the selection criteria is attached to the list; and
- d. Process used to identify which eligibles meet the selection criteria

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A.5 Candidate Raw Data

For small exams producing very little candidate raw data, the raw data may be kept in the specimen folder. However, under most circumstances, record keeping will be more manageable if the raw data described below is kept in a file separate from the specimen folder, but under the control and safekeeping of the Recruitment and Selection/Examination staff.

___ **Are the following materials kept for a period of at least two years after exam promulgation? (Civil Service Rule 7.24)**

- a. Rating from Records evaluation forms;
- b. Supplemental application information and resumes;
- c. Appraisal of Promotability ratings and comments;
- d. Written test answer sheets;
- e. Performance test rating forms, checklists and comments; and
- f. Any other original materials or forms on which individual candidates' examination performance is recorded (includes any signed statements made by candidates during the course of the examination administered).

___ **Are interview examination rating forms and written comments being retained for a period of five years after exam promulgation? (Civil Service Rule 7.23)**

- a. Candidates' signed "consent to be interviewed" forms are included; and
- b. Candidates' signed "liability waiver" form for appropriate performance tests are included.

___ **Is the candidate raw data properly scored?**

- a. Weighted Rating from Records: Training and experience that is credited is identified and meets the established standards. Points are properly awarded. Total score is computed correctly. Rater's name is on the form.
- b. Weighted Interview: Rating forms are complete. Rater's comments are adequately descriptive and do not reflect consideration of factors that are not job-related. Ratings and comments are consistent with rating standards. Score is properly assigned according to the scoring plan for the interview.

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A.5 Candidate Raw Data (cont'd)

- c. Appraisal of Promotability: Rating forms are complete. Rater's comments are adequately descriptive and do not reflect consideration of factors that are not job-related. Ratings and comments are consistent with rating standards. Score is properly assigned according to the A/P scoring plan.
- d. Written tests: Answer sheets have scores recorded on them. Scores are accurate according to the scoring and weighting key.
- e. In general, for all scored raw data, including qualifying exam parts: Points or findings are accurately recorded according to scoring key or rating standards. Scores are accurately calculated according to the scoring plan for the assessment method. If rating forms are used, they are completed according to instructions. Rater's signature, initials, or identification code appears on the form.

B. FACILITIES AND SECURITY

This section prescribes the type of physical accommodations that must be evident in the administration of delegated examination programs. The purpose of these accommodations are to facilitate: 1) candidate application activities, (2) secure handling and storage of exam materials and confidential candidate information, and (3) standardized exam administration. It is not necessary for departments to establish areas exclusively for exam functions. However, departments must designate areas for exam functions, and manage these areas according to the guidelines in this section. The entry way shall be marked "Personnel Office" or "Employment Applications." When a department has several facilities which operate separate examination systems independent of one another, each facility shall maintain an application counter or office.

Is there at least one departmental employment application counter or office that is clearly marked and accessible to persons with disabilities?

Is the counter or office staffed to provide job vacancy and application information to potential candidates?

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B.1 Application Counter or Office (cont'd)

___ Is the counter or office equipped with the following items?

- a. Blank applications;
- b. Area for completing applications;
- c. Date stamp; and
- d. Metal secured file cabinets, or some suitable alternative, for retaining completed applications.

___ Does the counter or office post a listing of all open competitive and promotional examinations, and all other County interdepartmental exams?

___ Is the counter or office open to the public during regular business hours, and are office hours prominently posted?

___ Is there an area in the office where general applicant information is posted?

- a. A posted notice of applicant rights under Title VII of the Civil Rights Act, the Age Discrimination Act, the Vocational Rehabilitation Act, and the Americans With Disabilities Act;
- b. A posted notice of employment eligibility requirements under the Immigration Reform and Control Act of 1986 (IRCA); and
- c. Any other required postings for employers.

___ Is there a department employment information telephone number printed on the bulletins and in the County phone directory?

B.2 Security Controlled Areas

___ Is there a security controlled area for storing test materials? Test materials include test booklets, oral examination questions, rating standards, etc.; job analyses; test validation data; candidate raw data; tabulations of scores; test material in development; and specimen files;

- a. Access to area limited to authorized personnel only;

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B.2 Security Controlled Areas (cont'd)

- b. Material scored in one or more of the following:
 - Metal file cabinets with locking bar
 - Safe or vault
 - Locking closet or room with permanent walls, solid doors, no ground level windows, no access over walls through suspended ceiling, and no master key for janitorial use;
- c. Examination materials and records scheduled for destruction through burning or shredding is kept in security controlled storage until destroyed; and
- d. Access to test processing area and the areas used for storage of exam materials is restricted to authorized personnel only and posted with appropriate signs.

___ **Is there a security controlled work area for processing candidate raw exam data (e.g., scoring, score recording, tabulation, etc.)?**

___ **If test processing is computer assisted, is there a computer access security system?**

- a. Access limited to authorized personnel only through use of access codes, user ID's, or passwords for multiple terminal, multiple user systems (networks); and
- b. Locking device for systems not having software-based security systems.

___ **Is there an established, secured method for destroying or disposing of test materials which are beyond their retention period?**

___ **Is there a security controlled area for candidate review of raw data, scoring keys and rating standards, score transformation and final grade computation formulas? (Civil Service Rule 7.19) Is the test viewing area set up to have the following attributes?**

- a. Accessible to candidates with disabilities;
- b. Adequate lighting, ventilation and noise insulation;
- c. Precautions to prevent alterations of materials handled by candidates;

B.2 Security Controlled Areas (cont'd)

- d. Physical arrangements for controlling entry and exit of candidates through one door; and
- e. Procedure for preventing multiple reviews of the same data by the same individual (e.g., a sign-in roster).

B.3 Areas Used for Test Administration

___ **If written test are conducted, are the testing rooms set up (or can they be set up) to have the following attributes?**

- a. Accessible to candidates with disabilities;
- b. Adequate lighting, ventilation and noise insulation;
- c. Clock where all can see it, or a board for posting for time remaining;
- d. Proctor location and candidate seating arrangement in configurations that will discourage a candidate from looking at another's answers;
- e. If a large room, a public address system; and
- f. Physical arrangements for controlling entry and exit of candidates through one door.

___ **Do rooms used for interviewing have the following attributes?**

- a. Accessible to candidates with disabilities;
- b. Candidate check-in and waiting area; and
- c. Adequate lighting, ventilation, noise insulation and privacy.

___ **If performance tests are conducted, are the testing rooms and areas set up (or can they be set up) to have the following attributes?**

- a. Accessible to candidates with disabilities;
- b. Candidate check-in and waiting area;
- c. If testing is done in a room, adequate lighting, ventilation, noise reduction and privacy;
- d. Appropriate testing equipment, layout, and safety/first aid equipment (if testing or equipment involves any unavoidable risks or hazards); and
- e. If more than one candidate is concurrently tested, the equipment and layout are essentially the same for every replication (e.g., typewriters or word processors used in a typing test, trucks used in a driving test, tools and hardware used in a shop skills test).

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C. EXAMINATION MANAGEMENT AND SUPERVISION

C.1 Staff Training

___ **For staff performing the duties of exam scheduling, evaluating applications, test administration and test processing, is there a record of training in the technical subject matter of these activities?**

- a. Application procedures;
- b. Test processing, record keeping requirements and procedures, and exam security; and
- c. Test administration, proctoring, scoring and raw score transformation procedures.

___ **For staff performing duties of job analysis, exam planning and development, assessment methods, and exam process supervision, is there a record of training in the technical subject matter of these activities?**

- a. Basic exam processing, bulletin preparation, recruitment and test administration considerations;
- b. Job analysis and exam planning;
- c. Test development and use of assessment methods;
- d. Test validity and reliability concepts; and
- e. Basic exam statistics.

___ **Are there written technical guidelines for job analysis, exam planning, the development and use of assessment methods, establishing cut-off scores and documentation?**

C.2 Operational Procedures

___ **Are there written procedures for insuring equitable treatment of candidates, consistent application of evaluation standards, control of examination fraud, and the assurance of confidentiality of exam plans, data and results?**

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C.2 Operational Procedures (cont'd)

- a. Restricting exam technicians and support personnel (e.g., personnel staff, proctors and monitors) from any involvement in an examination in which they are candidates, have relatives or close associates who are candidates, or have immediate superiors who are candidates;
- b. Writing complete and unambiguous bulletin statements;
- c. Screening and rating applications and supplemental application information;
- d. Selecting interviewers and training interviewers, and processing interviews;
- e. Preparing written test materials (including quality control, booklet control and accounting, security in reproduction and transportation);
- f. Test proctoring (including considerations for early or late administrations);
- g. Raw score conversion formulas and grade computation procedures;
- h. Notifying candidates of application rejection, test scheduling or re-scheduling, eligibility, re-score, change in grade, change in exam plan, exam cancellation;
- i. Handling candidate notices undeliverable and returned by post office;
- j. Extending the last date to file (LDF);
- k. Ensuring confidentiality of records and examination information by requiring test security agreements for all staff involved with the exam;
- l. Distributing bulletins for DP, IP and OC examinations;
- m. Setting cut-off scores that ensure they were set independent of any knowledge of individual candidate's scores; and
- n. Planning and conducting test review.

___ **Are there written examination/test security procedures that account for the secure and confidential handling of examination materials and data at each step of development, administration and scoring?**

C.3 Forms and Work Aids

___ **Is there a departmental form or format utilized in all examinations that acts as documentation for each of the following?**

- a. Job analysis
- b. Selection Plan
- c. Report of Examination

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C.3 Forms and Work Aids (cont'd)

- d. Eligible List/Register
- e. Candidate notices (various)
- f. Subject matter expert qualifications record
- g. Test/item review
- h. Test security agreement
- i. Interviewee's consent to be interviewed
- j. Notice of risk and liability waiver for performance test
- k. Test proctor log

___ **Is a bulletin distribution mailing list maintained for interdepartmental and open competitive examinations?**

- a. Every County personnel office is listed for open competitive and interdepartmental exams; and
- b. Mailing list for open competitive exams includes minority organizations and other equal opportunity-oriented addressees.

C.4 Examination Supervision

___ **Is there evidence of supervisory review of examiner's work (e.g., supervisor's signature and date approving a completed work product) at each major phase of exam development and administration?**

- a. Job analysis is adequate and adheres to standard procedures;
- b. Recruitment plan is appropriate for the exam objectives, and there has been consideration of alternatives to examining (such as reassignment, restoration, existing eligible lists, and reemployment lists);
- c. Bulletin is readable, complete and consistent with the selection plan;
- d. Selection plan and assessment methods are appropriate to the factors assessed; the methods are appropriately used (e.g., qualifying versus weighted part); the cut-off scores, if used, are set with sensitivity to adverse impact, and the part weights are reasonable and consistent with Civil Service Rules;

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C.4 Examination Supervision (cont'd)

- e. Assessment methods are developed and documented according to the established guidelines and standards;
- f. Report of examination and eligible list/register are assembled consistent with Civil Service Rules and these self-monitoring guidelines; and
- g. Selection plan, eligible list, certification list and report of exam are signed by Supervisor or designate.

_____ Is there evidence that department management has reviewed the performance of the delegated examination system on a semi-annual or annual basis, including a summary of the following?

- a. Examinations promulgated since the last report;
- b. Examinations in progress and their status;
- c. Types of recruitment used;
- d. Number of different types of assessment methods used;
- e. Number of candidates;
- f. Number of appointments;
- g. Average number of days for developing and/or processing an examination; and
- h. Number of appeals resulting from the administration of an examination.

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CIVIL SERVICE EXAMINATION RECORD RETENTION GUIDE

RETAIN 5 YEARS

The following documents shall be retained for at least five years after promulgation of the examination eligible list/register:

- Selection Plan and Standards which summarize the examination contents, the weights of the various parts and the minimum scores required.
- Report of Examination.
- Eligible Lists.
- Eligible Registers.
- Interview and oral examination rating forms and written comments by raters
- Specimen Folder which includes materials as described in Section A.3 of this document.

RETAIN 2 YEARS

The following documents shall be retained for at least two years after the promulgation of the examination.

- Applications.
- Supplemental application information and resumes.
- Rating from records evaluation forms.
- Written test answer sheets.
- Appraisal of Promotability ratings and comments.
- Performance test ratings, forms, checklists, and comments.
- Candidate writing samples.
- Any other original materials on which individual candidates' examination performance is recorded.
- Any signed statements required of all candidates during the course of examination administration.

All examination materials may be retained longer than established retention periods for administrative purposes.

**COUNTY OF LOS ANGELES - DEPARTMENT OF HUMAN RESOURCES
AREAS COVERED ON THE EXAMINATION PROGRAM
SELF-MONITORING CHECKLIST**

A. EXAMINATION RECORDS

- A.1 Exam Log
- A.2 Applications
- A.3 Specimen Folders/Story Folders
- A.4 Eligible Lists, Eligible Registers, and Certification Lists
- A.5 Candidate Raw Data

B. FACILITIES AND SECURITY

- B.1 Application Counter or Office
- B.2 Security Controlled Areas
- B.3 Areas Used for Test Administration

C. EXAMINATION MANAGEMENT AND SUPERVISION

- C.1 Staff Training
- C.2 Operational Procedures
- C.3 Forms and Work Aids
- C.4 Examination Supervision

DOCUMENTATION OF EXAMINATIONS PROGRAM REVIEW

Department: _____

Date(s) of Review: _____

Conducted By: _____
(Name)

(Title)

COUNTY OF LOS ANGELES - DEPARTMENT OF HUMAN RESOURCES
EXAMINATION PROGRAM SELF-MONITORING CHECKLIST FORM

A. EXAMINATION RECORDS

A.1 Exam Log

- Is there an examination log with the specified contents for all exams bulletined in the past five (5) years?

A.2 Applications

- Are applications date/time stamped to indicate when they were received?
- If a department-designed application is used, does the form meet the following requirements?
- Are equal employment opportunity questionnaires removed from each application prior to screening or rating applications?
- Are received applications complete?
- Are applications marked and initialed by an authorized person for meeting, or not meeting, the Minimum/Selection Requirements, or other requirements specified on the bulletin or in the Civil Service Rules governing applications?
- Do accepted applications meet acceptance criteria when applicable?
- Are applications and related application materials (verification of experience/out-of-class letters, transcripts, etc.) sorted by examination, accepted, rejected, and arranged alphabetically by candidate's last name?
- Are applications kept for examinations for a period of at least two years from the date of promulgation of the eligible lists?

A.3 Specimen Folders/Story Folders

A specimen folder must be prepared for each examination. This folder documents the processing of applicants through the entire examination. On an as needed basis only, it may be combined with the story or history folder, which contains the history of all exams administered under the same class title and item number, due to space constraints, test security requirements or other limiting factors.

EXAMINATION PROGRAM
SELF-MONITORING CHECKLIST FORMS

A.3 Specimen Folders/Story Folders (Cont'd)

- Is a specimen folder assembled for each examination which documents the processing of applicants through the entire examination?
- Does the specimen folder contain a copy of the class specification for the exam being conducted?
- Does the specimen folder contain an exam bulletin prepared according to the policies, procedures and guidelines for exam bulletins?
- Does the specimen folder contain the Selection Plan?
- Does the specimen folder contain a summary of the recruitment strategy, the bulletin distribution and any advertising utilized if used, particularly for difficult to recruit positions/classes?
- Does the specimen folder contain a copy of each type of notice sent to the candidates? (One copy of each type showing date of mailing and the kind of information communicated to candidates.)
- Does the specimen folder contain a Report of Exam?
- Does the specimen folder contain a record of candidates receiving late or early administrations of an examination part, and is the reason provided and consistent with County policy?
- Does the specimen folder contain a record of any special accommodations for persons with disabilities that were made or denied in the administration of the exam?
- Does the specimen folder contain a record of appeals that resulted in score changes after promulgation of the exam?
- Does the specimen folder contain the required documentation of the exam's assessment methods and procedures?
- Does the specimen folder include a job analysis summary report, if applicable?

**EXAMINATION PROGRAM
SELF-MONITORING CHECKLIST FORM**

A.3 Specimen Folders/Story Folders (Cont'd)

- Are the specimen folders retained for a minimum of five years from the date of promulgation of the Eligible List/Register for the examination?
- Are specimen folders stored in a locked cabinet or closet in a security-controlled area?

A.4 Eligible Lists, Eligible Registers, and Certification Lists

- For a standard examination, is there an Eligible List which has the prescribed contents?
- For a continuous filing or periodic examination, is there an Eligible Register which has the prescribed contents?
- Is there a certification list, created either from an Eligible List or an Eligible Register, showing eligibles within reach for appointment?
- Is a selective certification made from an Eligible List or Register?

A.5 Candidate Raw Data

- Are the identified materials kept for a period of at least two years after exam promulgation? (Civil Service Rule 7.24)
- Are interview examination rating forms and written comments being retained for a period of five years after exam promulgation? (Civil Service Rule 7.23)
- Is the candidate raw data properly scored?

B. FACILITIES AND SECURITY

B.1 Application Counter or Office

- Is there at least one departmental employment application counter or office that is clearly marked and accessible to persons with disabilities?
- Is the counter or office staffed to provide job vacancy and application information to potential candidates?

**EXAMINATION PROGRAM
SELF-MONITORING CHECKLIST FORM**

B.1 Application Counter or Office (Cont'd)

- Is the counter or office equipped with specified items?**
- Does the counter or office post a listing of all open competitive and promotional examinations, and all other County interdepartmental exams?**
- Is the counter or office open to the public during regular business hours, and are office hours prominently posted?**
- Is there an area in the office where general applicant information is posted?**

B.2 Security Controlled Areas

- Is there a security controlled area for storing test materials?**
- Is there a security controlled work area for processing candidate raw exam data (e.g., scoring, score recording, tabulation, etc.)?**
- If test processing is computer assisted, is there a computer access security system?**
- Is there a security controlled area for candidate review of raw data, scoring keys and rating standards, score transformation and final grade computation formulas? (Civil Service Rule 7.19)**
- Is there an established, secured method for destroying or disposing of test materials which are beyond their retention period?**

B.3 Areas Used for Test Administration

- If written tests are conducted, are the testing rooms set up (or can they be set up) to have the appropriate attributes?**
- Do rooms used for interviewing have the appropriate attributes?**
- If performance tests are conducted, are the testing rooms and areas set up (or can they be set up) to have the appropriate attributes?**

**EXAMINATION PROGRAM
SELF-MONITORING CHECKLIST FORM**

C. EXAMINATION MANAGEMENT AND SUPERVISION

C.1 Staff Training

- For staff performing the duties of exam scheduling, evaluating applications, test administration and test processing, is there a record of training in the technical subject matter of these activities?
- For staff performing duties of job analysis, exam planning and development, assessment methods, and exam process supervision, is there a record of training in the technical subject matter of these activities?
- Are there written technical guidelines for job analysis, exam planning, the development and use of assessment methods, establishing cut-off scores and documentation?

C.2 Operational Procedures

- Are there written procedures for insuring equitable treatment of candidates, consistent application of evaluation standards, control of examination fraud, and the assurance of confidentiality of exam plans, data and results?

C.3 Forms and Work Aids

- Is there a departmental form or format utilized in all examinations that acts as documentation?
- Is a bulletin distribution mailing list maintained for interdepartmental and open competitive examinations?

C.4 Examination Supervision

- Is there evidence of supervisory review of examiner's work (e.g., supervisor's signature and date approving a completed work product) at each major phase of exam development and administration?
- Is there evidence that department management has reviewed the performance of the delegated examination system on a semi-annual or annual basis?