

Compliance Auditor Information Guide

What to Expect on the Work Sample and Interview Panel

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**Jefferson County Commission
Human Resources Department
Employee Selection Division**



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I. INTRODUCTION

The purpose of this information guide is to help explain what to expect on the upcoming exam for the Jefferson County Compliance Auditor position. It will also give you information on how to prepare for the exam. This booklet contains information about the testing process, including:

- Introduction
- Exam Description
- Content Measured by the Exam
- Additional Information for Taking Exams
- Contact Information

You were determined to be minimally qualified for this job by the Personnel Board of Jefferson County, and your name was placed on a list and shared with us here in the Human Resources Department of the Jefferson County Commission. This step in the process was considered the primary selection process.

Now you will be participating in the secondary selection process. You must take the exam in order to be considered for this position. Please remember that the material in this booklet is designed to help prepare you for the test. You will not need the material in this booklet at the time you actually take the test. **Therefore, you will not be allowed to carry this booklet into the test session.**

II. TEST DESCRIPTION

Work Sample and Interview Panel

The upcoming interview for Compliance Auditor consists of a brief writing exercise followed by a panel-structured interview. You will be provided with a laptop to complete the writing exercise. Following the writing exercise, there will be approximately five scenarios and associated focusing questions on the interview. The scenarios will be about issues, situations, responsibilities, activities, incidents, etc., which a new Compliance Auditor may have to address. The interview questions will be read to you by the interviewers. You will respond orally to each interview question.

On the day of the interview, you will be provided with an interview guide that contains some or all of the actual interview questions you will respond to during the interview. You can take time to gather your thoughts before answering the questions, as this will not affect your score.

While you are reviewing the interview questions, you may make notes for your use during the interview. **Raters will only be evaluating you on what you say during the actual interview session.** They will not evaluate what you have written down in your notes. Only your verbal responses will be scored.

When it is time for your interview to start, you will be escorted to an interview room. You will be the only candidate in the interview room, along with a panel of interviewers. When the interview starts, you will see information in your guide and hear the same information read by a narrator.

The narrator will present each scenario, or question, verbally. To complete the interview, you must verbally respond to each scenario. You may use your notes when providing your response; however, your notes will not be evaluated. Only your verbal response will be assessed.

Remember, there will be approximately five interview questions. Each interview question will be read aloud prior to your response time beginning. Keep in mind the following things when responding:

- More detail is better than less detail. That is, more details which show one's knowledge, skills and abilities relevant to the question may improve a candidate's evaluation
- The evaluators will not "read in" to what you say

- Your responses will be evaluated against a defined set of performance standards
- You should answer all focusing questions related to each scenario
- Be sure to talk about what you would do and why

Sample Question

The following question is presented as an example of the form or type of scenarios with which you will be presented. Please note that the content, or subject matter, of the actual interview scenarios will vary and may or may not be similar to that of the questions presented below. The scenarios to which you will respond during the interview will be related to the job for which you are applying.

Example

The department that you work in recently purchased some new equipment. Today, you are able to use the new equipment for the first time. You have been told that the new equipment is similar to what you have had previously. While you are using the new equipment, it stops working and shows an error message that you have never seen before.

Focusing Question(s)

What are the next steps that you would take to determine the meaning of the error message and continue with your work?

III. CONTENT MEASURED BY THE TEST

An analysis of the Compliance Auditor job was conducted prior to developing the exam. Employees who work in this position, and their supervisors, participated in this process. When the job analysis study was completed, the results showed that a new employee in the Compliance Auditor position may perform several of the duties listed below, including:

- Conducts regular audits of operational processes using various policies and procedures to identify areas for improvement ensuring compliance with regulations and recommending changes to enhance efficiency and effectiveness
- Creates audit schedules and plans by using various processes to ensure a comprehensive review of the organization's risks and sufficient coverage of all relevant areas.
- Builds and sustains relationships with audit clients across all business units and at all levels of the organization by communicating with audit clients to ensure a clear understanding of audit processes, issues identified, project status, etc.
- Assists the compliance office in developing and implementing compliance programs and initiatives by providing guidance and support to departments to ensure compliance with organizational policies and regulatory requirements.
- Maintains accurate and detailed records of audits, safety inspections, and internal controls throughout County departments by preparing reports on audit findings and presenting recommendations to management.
- Establishes and implements internal controls using appropriate guidelines to detect and prevent fraud, abuse, and other compliance risks within various departments.
- Stays updated with relevant laws, regulations, and industry standards related to compliance and safety through professional development and independent research in order to ensure the County remains compliant with regulatory requirements.
- Serves as the primary safety compliance auditor, conducting safety inspections, reviewing safety reports, and recommending corrective actions in order to ensure that departments comply with established safety programs and protocols.

- Develops and delivers training programs to educate employees on safety and compliance best practices in order to promote a culture of safety and compliance throughout the organization.

The study of the job also showed that a number of knowledges, skills, and abilities were very important and needed from the moment a person becomes a Compliance Auditor. That is, before receiving any training for Compliance Auditor job. These knowledge, skills, and abilities include:

- Knowledge of Occupational Safety and Health Administration (OSHA) rules and regulations.
- Knowledge of principles and processes for providing customer and personal services (e.g., customer needs assessment, quality standards for services, and evaluation of customer satisfaction).
- Knowledge of techniques involved in gathering, compiling, reporting information about programs, projects, policies and outcomes.
- Skill in maintaining a positive working relationship through comfortable and appropriate interpersonal interaction.
- Skill in operating a motor vehicle.
- Skill in organizing information, materials, and/or documentation in a systematic and logical manner.
- Skill in selecting the most appropriate course of action in situations where information is unclear or unavailable and making high quality and effective decisions.
- Skill in using basic mathematics (e.g., addition, subtraction, multiplication, division) to solve problems.
- Skill in using Microsoft Excel or similar spreadsheet software.
- Skill in using Microsoft Outlook or other similar email software.
- Skill in using Microsoft Word or similar word processing software.
- Ability to assess the importance of, and consequences associated with, tasks in order to set priorities in light of competing demands.
- Ability to analyze a problem from different perspectives and generate potential solutions that are practical and effective.
- Ability to communicate information and ideas in writing to a variety of audiences in a clear, concise, and organized manner, free from spelling, grammar, and punctuation errors.
- Ability to conduct research using various sources of information (e.g., databases, internet, books) in order to identify and compile needed information.
- Ability to determine how a system should work and how changes in conditions, operations, and the environment will affect outcomes.
- Ability to follow safety procedures and practices in a variety of novel and everyday work tasks/situations.
- Ability to identify appropriate materials and sources of needed information, to includes referencing, cross referencing, and evaluating the pertinence of information.
- Ability to maintain awareness of safety procedures and practices in a variety of novel and everyday work tasks/situations.
- Ability to manage complex data sets and data files, including merging datafiles, and importing and exporting data to and from different software packages.
- Ability to manage one's time in order to accomplish objectives within given timeframes.
- Ability to obtain and allocate the appropriate equipment, facilities, and materials to complete work.
- Ability to orally communicate information and ideas so others will understand.

- Ability to pay close attention to detail in order to ensure the completeness and accuracy of work.
- Ability to read and understand information and ideas presented in writing.
- Ability to review work and evaluate it against established standards, procedures, laws, or codes to determine any discrepancies between how the work was performed and how it should be performed.
- Ability to take a novel approach to work tasks or problems and generate unique or original ideas and/or solutions.
- Ability to teach or train individuals with regard to new information, procedures, processes, and/or equipment.
- Ability to use logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions, or approaches to problems.
- Ability to work in an environment that requires strict adherence to instructions, standards, and/or procedures.

The exam will give you an opportunity to demonstrate many of the knowledge areas, skills, and abilities you have just read.

In the remainder of this "What to Expect" Booklet, you will read about ways to prepare to take the test, what to bring to the test, and whom to contact if you have a question.

IV. PREPARING FOR THE TEST

A. General information on "What to do before the test":

Here are some suggestions for what to do before the test. This includes getting to the testing place on time and with the proper things that you will need to take the test.

- 1) Be well rested. Get a good night's sleep for several nights in a row before the test.
- 2) Allow plenty of time to get to the test. If you are rushed and late, you will be upset when you get there. Plan to arrive at least 15-20 minutes before earlier than the scheduled time for check-in. Due to the nature of the test and the number of candidates that must be processed, NO exceptions will be made to accommodate individuals arriving more than 15 minutes after their scheduled check-in time.
- 3) Come to the test dressed comfortably. You will be there for up to two hours.
- 4) Do NOT bring any electronic communication devices (e.g., cell phones, laptops, tablets, smart watches, etc.) with you to the test. If you bring a cell phone or any other electronic communication device, you will be asked to return it to your car. Jefferson County will not confiscate them or "hold" them for you during the test. You must comply with this rule in order to be admitted and you will still be subject to the check-in deadline. Using any communication device after you have checked into the test site will be considered a violation of test security and you will be disqualified. ALL electronic communication devices are prohibited from the testing facility (e.g., cell phones, tablets, smart watches, cameras, etc.).
 - a) If any device is seen, heard, or used during the test process it will be considered a violation of test security and you will be disqualified and dismissed from the test process.
 - b) You are allowed to bring reading materials, such as magazines or books not related to the position or test.
- 5) Do not bring any of your study or reference materials to the test. This includes any notes, manuals, source documents, reference materials, or study materials that you have used or created to prepare for the test.
- 6) Do not bring this booklet to the test location. You will not be permitted to bring it in. All the materials you need for the test will be given to you at the test.

- 7) You should read this booklet to get comfortable with the test process.
- 8) You should read this booklet to understand which job duties, knowledge, and abilities are important for Compliance Auditor job.
- 9) You should bring the confirmation email that you have received from Jefferson County to the testing location. The confirmation email lists the name of the test (i.e., Compliance Auditor), the place you should go to in order to take the test, and the time, day, and date of the test.
- 10) You must bring valid PHOTO IDENTIFICATION (i.e., Valid Driver's License, Valid Nondriver ID, Valid Photo Voter ID Card, Valid State Issued ID [Alabama or any other state], Valid Federal issued ID, Valid US passport, Valid Employee ID from Federal Government, State, County, Municipality, Board or other entity of the state, Valid student or employee ID issued by a state or private institution of higher learning [including postgraduate technical or professional schools], Valid Military ID, or Valid Tribal ID). You will not be allowed to enter the test location nor take the test without your photo identification.

V. ADDITIONAL INFORMATION FOR TAKING THIS TEST

The following information will help you prepare to take the exam.

A. What To Bring To the Test

Please remember to bring to the test the confirmation email that you received from Jefferson County.

You must bring a PHOTO IDENTIFICATION to the test location. This might be a valid driver's license, a military identification card, a passport, etc. You only need to have one form of photo identification. You will **not be allowed** to enter the test location or take the test without your photo identification.

You should plan on bringing your own beverages and food to snack on during the day. You will be onsite for up to two hours. Once on the test site, you will NOT be permitted to leave to get food or drinks. You should also bring something to read such as a book or magazine. The reading material should be for pleasure only. You **may not** bring outside test-related materials into the test. All written materials needed for taking the test will be provided. You do not need to bring writing utensils with you to the test—they will be provided to you.

B. What Not To Bring To the Test

Do **NOT** bring this Booklet to the test location. You will not be permitted to bring it in the testing room.

Do **NOT** bring any of your study materials to the test. This includes notes, manuals, and other study materials.

Do **NOT** bring any electronic communication devices (e.g., cell phones, laptops, tablets, smart watches, cameras, etc.) with you to the test.

VI. TEST CONTACT INFORMATION

General Questions about the Test

If you have questions about the test administration, you may contact the Employee Selection Division at (205) 214-5518 or careers@jccal.org. Jefferson County employees are not allowed to divulge, and do not have access to, specific information about the content of the test.

Reasonable Accommodation

If you would like to request special testing accommodation or have any questions concerning the test site or testing conditions, please contact Ian Peters at 205-582-6680 or petersi@jccal.org.