18-01 Management Policies and Procedures Audit - 3rd Follow-up

Status of Corrective Actions in Management Responses
As of October 2019
Original Report Issuance - November 2017. First follow-up - July 2018. Second follow-up - February 2019.

Third Follow-up Result: Two items are outstanding and requrie additional follow-up.

City Auditor's Office
Emily E. Kidd, CIA, CGAP
Internal Auditor

	Findings (condensed)	**Recommendations**	**Management Response**	**Follow-up Status**
5	**Police Department Professional Staff Do Not Receive Training**			
	The Police Department's professional staff does not take the PD trainings provided to sworn officers and are currently not required to participate in the citywide training program.	We recommend the Police Department's professional staff be included in the mandatory citywide training program in an effort to maintain consistency of employee expectations and City standards.	The Police Department's professional staff will be included in the mandatory City-wide training program in an effort to maintain consistency of employee expectations and City standards. The Office of the City Manager will work with the Police Department to have professional staff included in the mandatory City-wide training program through TargetSolutions [beginning] January 1, 2018 The Office of the City Manager will continue to monitor employee completion of all mandatory trainings to avoid this issue in the future.	The auditor's recommendation has begun being implemented. Police Department professional staff will be included in all future mandatory trainings. Audit Comment to Follow-up: Documentation verifying PD professional staff is included in Citywide training was not available as of follow-up date July 18, 2018. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.
				February 2019: Human Resources has been tasked with this item and conversations are occurring. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date. Audit Comment to second Follow-up: Additional follow-up will be conducted by audit.
				October 2019: RPD non-sworn staff is now included in mandatory Citywide training as of July 2019 targetsolutions assignment. Audit Comment to third Follow-up: This finding is now closed. No further follow-up required.
11	**Citywide Training Program's Standard Operating Procedures Are Not Documented**			
	Standard operating procedures are not documented for the citywide training program. Establishing written policies is the first step to clarify processes and employee expectations. Documented procedures are also integral to efficient succession planning.	We recommend a standard operating procedures manual be developed and documented for the citywide training program. The document should clarify the process owner for the training program's management and detail temporary employee training requirements.	A standard operating procedures manual will be developed and documented for the City-wide training program. The document will clarify the process owner for the training program's management and detail temporary employee training requirements. This step has started and is expected to be drafted January 2018 with final product completed March 2018.	The auditor's recommendation will be implemented following the onboarding of the Trainer position. Audit Comment to Follow-up: Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.
				February 2019: Pending trainer position being filled. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date. Audit Comment to second Follow-up: Additional follow-up will be conducted by audit.
				October 2019: Pending trainer position being filled. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date. Audit Comment to third Follow-up: Additional follow-up will be conducted by audit.

	Findings (condensed)	Recommendations	Management Response	Follow-up Status
15	**Citywide Policies Could Be More Effectively Organized**			
	The applicability of the Management Policies and Procedures for all City employees is not clear. The MPPs are maintained on the City's Intranet site for employee access and are organized in six folders: General, City Clerk, City Manager, Finance, Legal, and Human Resources. Per inquiry with sampled employees during policy awareness testing, many employees believed that the policies in folders with departmental titles applied to employees within that department only.	We recommend the policies be reorganized to indicate more clearly the applicability of policy compliance by all City employees.	The policies are being reorganized to indicate more clearly the applicability of policy compliance by all City employees. This step has started and is expected to be completed January 2018. During annual policy review, the Office of the City Manager will review naming conventions to avoid the issue in the future.	The auditor's recommendation has been implemented with the policies being reorganized. Audit Comment to Follow-up: Discussed with departmental process owner, this is an ongoing project that is not yet complete. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.
				February 2019: The complete policy re-write is expected to be complete by end of FY19. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date. Audit Comment to second Follow-up: Additional follow-up will be conducted by audit.
				October 2019: Policy re-write is complete at this time. Existing policies will be reviewed annually. Audit Comment to third Follow-up: This finding is now closed. No further follow-up required.
16	**Personnel Policies Are Not Defined For All Employee Groups**			
	The policies and procedures specific to employee groups without Collective Bargaining Agreements are not clear. For several benefit groups Mid-Management, Municipal Court, Management, and Unrepresented Hourly, the employment policies often referred to as "HR policies" that govern sick leave, annual leave, etc. are not conveniently located for access by employees.	We recommend the standards for each group be identified and coalesced into a document that can be readily accessed by employees for their reference and planning purposes to better support employee success of compliance.	HR is currently working with the City Attorney's Office to consolidate all Resolutions concerning Management, Mid-Management, and Unrepresented Hourly (formerly known as Confidential) employees so that there is a clear document for each group that explains such benefits. We are planning to take the consolidated Resolutions to the Reno City Council in March of 2018. When amendments are made to Resolutions governing these employee groups, we will make sure all applicable documentation is updated and available on BLI for employees. Further, we will endeavor to keep the Resolutions as clear and concise as possible to foster understanding.	The auditor's recommendation is currently being implemented. This will be a long-term project. Audit Comment to Follow-up: Discussed with departmental process owner, this is an ongoing project that is not yet complete. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.
				February 2019: Human Resources has been tasked with this item and resolutions are being drafted. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date. Audit Comment to second Follow-up: Additional follow-up will be conducted by audit.
				October 2019: Human Resources has been tasked with this item and resolutions are being drafted. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date. Audit Comment to third Follow-up: Additional follow-up will be conducted by audit.