

**18-01 Management Policies and Procedures Audit Follow-up**

**Status of Corrective Actions in Management Responses**  
**As of July 2018**  
**Original Report Issuance - November 2017**  
**Follow-up Result: Six of the 16 responses are not yet implemented. Additional follow-up is scheduled. (Items #5, 7, 8, 11, 15, &16)**



**City Auditor's Office**  
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**Internal Auditor**

**City Manager's Office**

Finding	Recommendations	Management Response	Corrective Action Status
<p><b>1 Employees Were Not Knowledgeable of Citywide Policies and Procedures</b>                      Queried 24 employees, six (25%) had ample knowledge concerning the citywide policies and procedures. Conversely, six (25%) employees did not have appropriate awareness of the policies outside of their department and immediate scope-of-work</p>	<p>We recommend the citywide policies be communicated to City employees in a manner that results in appropriate knowledge of the standards included in the citywide policies, <i>Management Policies and Procedures</i>.</p>	<p>The City-wide policies will be communicated to City employees in a manner that results in appropriate knowledge of the standards included in the City-wide policies, Management Policies and Procedures. On an annual basis, all employees will be tasked with reviewing all policies with verification done through TargetSolutions. A button for easier access to existing policies has been added to the Intranet. This step has started and is expected to be completed January through February 2018, then repeated on an annual basis.</p>	<p>The auditor's recommendation has begun being implemented. A button is available to access policies through the intranet and Human Resources is planning annual in-person policy trainings after all policies have been updated.</p> <p><u>Audit Comment to Follow-up:</u>                      Observed the button on the intranet site. Annual policy review is planned. No further audit follow-up needed.</p>
<p><b>2 Policy Attestation Documents Were Missing</b>                      Of the sampled employees' electronic HR files reviewed, three policy-related attestation documents were not included.</p>	<p>We recommend the employees identified complete the policy attestation and HR include the completed form in the employees' HR file.</p>	<p>HR will request that the identified employees review and complete the documents and we will upload their attestations to the Documentum personnel file. Identified employees will be contacted, asked to review and sign the documents, and the documentation will be uploaded to their personnel file in Documentum by October 31, 2017.</p>	<p>The auditor's recommendation has been fully implemented.</p> <p><u>Audit Comment to Follow-up:</u>                      Examined attestation documents. All were completed by July 13, 2018. No further follow-up is needed.</p>
<p><b>3 Policy Distribution Methodology Could Be Improved</b>                      Employees are not provided sufficient documentation of the City's policies and procedures to promote awareness and adherence to the standards. A correlated effect is employees are not knowledgeable of operating standards documented in citywide policies and procedures as ascertained in the questionnaire administered during this audit.</p>	<p>We recommend HR determine the specific policies to provide to new employees during the onboarding to provide a base-level of core policy awareness but not be too voluminous to be ineffective.</p> <p>In addition, we recommend a process be enacted to provide current employees with those core policies.</p> <p>Finally, we recommend the standard operating procedure for core policy distribution methodology be documented.</p>	<p>HR is currently re-vamping the new employee on-boarding process to include a policy review for "the big 7". Specifically, new employees will be given copies of, and will review with the New Employee Orientation trainer the following policies: #101 Ethical Standards, #102 Rules of Conduct, #103 Disciplinary Action, #105 Work Time Approval, #502 Workplace Violence, #503 Alcohol &amp; Drug Use, and #607 Prohibited Discrimination, Harassment, and Retaliation Policy.</p> <p>For existing employees, the City's policies are currently being updated. Anticipated roll out of newly amended policies will be January 2018. HR will build a training session for existing employees to reacquaint themselves with the policies, and to discuss the specific updated material. Further, we will be reviewing with existing employees where the policies are located on BLL.</p> <p>The New Employee Orientation component was integrated October 23, 2017. Existing employee training will commence after January 2018, when the updated material is available.</p> <p>HR will integrate policy training in the City-wide training curriculum it is formulating. We will consider policy training a mandatory subject of training and develop a schedule for refresher training in conjunction with other mandatory training subjects.</p>	<p>The auditor's recommendation has been partially implemented. Policies are reviewed during orientation and during supervisory college. When the full policy update is complete, all city mandatory training will be scheduled.</p> <p><u>Audit Comment to Follow-up:</u>                      Examined new employee orientation policies provided by HR on July 18, 2018. No further follow-up is needed.</p>

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<p><b>4 Temporary Employee Training Requirements Are Not Clearly Defined</b></p> <p>Mandatory training for temporary employees is not administered nor is it clearly defined - with the exception of Parks, Recreation, and Community Services (PRCS) temporary employees.</p>	<p>We recommend HR management determine the policy training courses appropriate for temporary employees and develop a process to ensure they are trained and the documentation of training be maintained according to Records Retention schedules.</p>	<p>HR is working to develop a City-wide training curriculum that includes all temporary employees, volunteers, and student interns. In conjunction with the training curriculum, we are updating policies concerning City-wide training to include language referring to the above employees. We will implement this training curriculum in 2018. We will follow a schedule of training curriculum developed in the aforementioned policy.</p>	<p>The auditor's recommendation has begun being implemented. Temporary staff receive the same mandatory training and their documentation is saved per Records Retention schedule.</p> <p><u>Audit Comment to Follow-up:</u> No further follow-up is needed.</p>
<p><b>5 Police Department Professional Staff Do Not Receive Training</b></p> <p>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.</p>	<p>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.</p>	<p>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.</p>	<p>The auditor's recommendation has begun being implemented. Police Department professional staff will be included in all future mandatory trainings.</p> <p><u>Audit Comment to Follow-up:</u> Documentation verifying PD professional staff is included in Citywide training was not available as of followUp date July 18, 2018. Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.</p>
<p><b>6 Mandatory Staff Training Is Not Clear For All Departments</b></p> <p>Requirements for City Clerk and Civil Service employees to participate in the citywide training program are not clearly defined. In addition, the employees from the Civil Service department and the City Clerk's department in the sample testing did not complete the mandatory 2017 Module I training due March 15, 2017 as of August 4, 2017.</p>	<p>We recommend the employees identified be held to the same training requirements in an effort to maintain consistency of employee expectations and City standards. In addition, we recommend the 2017 Module I training be completed by the employees in the City Clerk and Civil Service departments.</p>	<p>Employees will be held to the same training requirements in an effort to maintain consistency of employee expectations and City standards. The Office of the City Manager continues to monitor all non-completed mandatory training, including these departments. Identified employees have been tasked with completing 2017 Module II. The mandatory training credentials for 2017 Module I will be reissued to applicable staff as 2018 Module I in January 2018. This step has started and, for 2017 Module II, there has been improved success across all departments. Outreach will be conducted with specific departments to avoid this issue in the future.</p>	<p>The auditor's recommendation has been implemented. Mandatory training is consistently enforced for all departments at this time.</p> <p><u>Audit Comment to Follow-up:</u> Examined training completion reports for City Clerk and Civil Service departments. No further audit follow-up needed.</p>
<p><b>7 Review of Completeness Not Performed for Training Software</b></p> <p>Examination of TargetSolutions' system reports identified eleven employees that were provided user access to TargetSolutions without being assigned a specific credential. Those employees' training completion cannot be reviewed by the training completion review process and employees may not be finishing the training.</p>	<p>We recommend the training program's process owner compare the user listing to the credential listing at least annually to ensure all active users are assigned credentials. In addition, we recommend this reconciliation be maintained for review.</p>	<p>The user listing will be compared to the credential listing at least annually to ensure all active users are assigned credentials. This reconciliation will be maintained for review. This step has started and is expected to be ongoing.</p>	<p>The auditor's recommendation has been implemented. HR will verify users and training credentials annually.</p> <p><u>Audit Comment to Follow-up:</u> Reconciliation documentation 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.</p>
<p><b>8 Mandatory Training Could Be More Efficient With Supporting Documents</b></p> <p>Internal audit was informed by Administrators that some employees need dedicated assistance in completing the training electronically which can be difficult for staff scheduling.</p>	<p>We recommend the training program's process owner provide an instructional guide to TargetSolutions Administrators for distribution to departmental employees as needed for a more efficient training process.</p>	<p>An instructional guide will be provided to TargetSolutions Administrators for distribution to departmental employees as needed for a more efficient training process. This step has started and is expected to be completed January 1, 2018. The training program process owner will continue regular meetings with administrators to avoid this issue in the future.</p>	<p>The auditor's recommendation will be implemented and a user guide developed.</p> <p><u>Audit Comment to Follow-up:</u> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.</p>

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<b>9 The Training Process Owner Could Be More Clearly Defined</b>			
Internal audit was informed by several Administrators that the direction provided by multiple lead employees at the Administrator meetings and the associated printed materials provided to the group have been inconsistent.	We recommend a single process owner be identified to oversee the citywide training program including the management of the TargetSolutions Administrator group in an effort to provide consistency, efficiency, and trust in the process.	A single process owner will be identified to oversee the City-wide training program including the management of the TargetSolutions Administrator group in an effort to provide consistency, efficiency, and trust in the process [beginning] November 2017. Improved communication with administrators will occur to avoid this issue in the future.	The auditor's recommendation has been implemented. HR has been identified as the single process owner.  <i>Audit Comment to Follow-up:</i> Examined email issued by HR on June 7, 2018 identifying HR as the training process owner. No further audit follow-up needed.
<b>10 Scheduling Could Be More Efficient for Seasonally Busy Departments</b>			
The completion of Module II was difficult to complete by the deadline time due to staff scheduling due to seasonal operations. Staff overtime may be used to complete seasonal work-projects as needed.	We recommend the City Manager's Office coordinate with departmental executive management to determine a due date for annual training modules and to include consideration of fiscal conservativeness, seasonal departmental operations, and community service efficiencies.	The Office of the City Manager will coordinate with departmental executive management to determine a due date for annual training modules and to include consideration of fiscal conservativeness, seasonal departmental operations, and community service efficiencies. If additional time is needed to complete trainings, the City Manager will review on a department by department basis. This step has started and is expected to be ongoing. Additional communication with department heads will occur to avoid this issue in the future.	The auditor's recommendation has begun being implemented. HR plans to offer a variety of training dates and times to allow for convenient attendance for all departments.
<b>11 Citywide Training Program's Standard Operating Procedures Are Not Documented</b>			
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.  <i>Audit Comment to Follow-up:</i> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.
<b>12 Documented Policy Process Is Not Followed</b>			
The City does not follow its own documented process for establishing citywide policy and the methodology including annual policy review and distribution process, per MPP 100. In addition, the process for revising previously established MPPs is not clear in the documented policies.	We recommend the processes documented in MPP 100, Policy and Procedures, reflect the desired procedures for the creation, revision, distribution, and communication of citywide policies and procedures and also include the process for revising existing policies.	The processes documented in MPP 100, Policy and Procedures, will be updated to reflect the desired procedures for the creation, revision, distribution, and communication of City-wide policies and procedures and include the process for revising existing policies. This step has started and is expected to have the final policy issued January 2018.	The auditor's recommendation has been implemented and outlined in Policy 101.  <i>Audit Comment to Follow-up:</i> Examined policy #101 Policy and Procedures. No further audit follow-up needed.
<b>13 New Policies Are Not Implemented Timely</b>			
A new policy was submitted for inclusion in the Management Policies and Procedures to the City Manager's Office for approval on June 7, 2016. The policy was posted to BLI on August 10, 2016, which was 47 working days after the policy submission.	We recommend a time frame for the policy approval process be established, included in the documented procedures, and adhered to for more efficient implementation of policies.	A time frame for the policy approval process will be established, included in the documented procedures, and adhered to for more efficient implementation of policies. This step has started and is expected to be completed January 2018. Once time frame is established, it will be followed to avoid the issue in the future.	The auditor's recommendation has been implemented and outlined in Policy 101.  <i>Audit Comment to Follow-up:</i> Examined policy #101 Policy and Procedures and noted the notification process is included. No further audit follow-up needed.
<b>14 Policy Notification Process Could Be Improved</b>			
Reviewed the notification process for nine new policies during audit fieldwork. For two of those policies, the notification was sent after the policy's documented effective date. For seven of the policies, an email notification had not been issued as of September 7, 2017.	We recommend a clear process for policy notification be developed, documented in the policies, and adhered to for more effective policy implementation. In addition, we recommend that a notification be sent for the seven new policies identified during the audit. Also, we recommend policy effective dates be the same as the date of notification.	A clear process for policy notification will be developed, documented in the policies, and adhered to for more effective policy implementation. A notification will be sent for the seven new policies identified during the audit. Policy effective dates will be the same as the date of notification. This step has started and is expected to be completed November 2017. Once process is established, it will be followed to avoid the issue in the future.	The auditor's recommendation has been implemented and outlined in Policy 101.  <i>Audit Comment to Follow-up:</i> Examined policy #101 Policy and Procedures and noted the notification process is included. No further audit follow-up needed.

Finding	Recommendations	Management Response	Corrective Action Status
<b>15</b> <b>Citywide Policies Could Be More Effectively Organized</b>			
<p>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.</p>	<p>We recommend the policies be reorganized to indicate more clearly the applicability of policy compliance by all City employees.</p>	<p>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.</p>	<p>The auditor's recommendation has been implemented with the policies being reorganized.</p> <p><u>Audit Comment to Follow-up:</u> 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.</p>
<b>16</b> <b>Personnel Policies Are Not Defined For All Employee Groups</b>			
<p>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.</p>	<p>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.</p>	<p>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.</p>	<p>The auditor's recommendation is currently being implemented. This will be a long-term project.</p> <p><u>Audit Comment to Follow-up:</u> 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.</p>