

18-01 Management Policies and Procedures Audit - 4th Follow-up

Status of Corrective Actions in Management Responses
As of May 2020
Original Report Issuance - November 2017. First follow-up - July 2018.
Second follow-up - February 2019. Third Follow-up - October 2019
Fourth Follow-up Result: Finding #16 remains outstanding



City Auditor's Office
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	Findings (condensed)	Recommendations	Management Response	Follow-up Status
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. <u>Audit Comment to Follow-up:</u> 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. <u>Audit Comment to second Follow-up:</u> 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.
				May 2020: Standard Operating Procedures for the citywide training program have been established. As the trainer position has been placed on hold pending budget concerns related to COVID-19, Human Resources has introduced SOPs that outline responsibilities for the Human Resources staff, employees, and department heads that will serve the City in the interim until that position can be filled. <u>Internal Audit Comment:</u> We reviewed the SOP document titled <i>Training and Development Procedure</i> provided by CMO on 06/05/20. No further action is needed on this finding.
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. <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.
				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. <u>Audit Comment to second Follow-up:</u> 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.
				May 2020: Human Resources is working with the City Attorney's Office on this item. This is a long-term project that requires extensive research on behalf of both Human Resources and the City Attorney's Office. <u>Internal Audit Comment:</u> This finding remains outstanding, audit follow-up of management's action will be conducted in 6 months.