



# Human Resources Department Matrix Report Update Audit and Finance Committee

August 14, 2019

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# Matrix Report Overview

March 27, 2017 Matrix Report Recommendations:

- **Establish a Case Management System**
  - Better Management of Active Cases
  - Develop Performance Reports to Evaluate Trends
  - Monitor Actions by Departments
- **Establish Guidelines for Investigation Process**
  - Process: Timelines, Notifications, Roles and Responsibilities
  - Creation of Templates and Checklists
  - Timely Personnel Actions



# Matrix Report Overview

- **Records Retention Review and Training**
  - Ensure Investigation Files are Maintained Appropriately within Legal Requirements
  - Provide Records Retention Training
- **Comprehensive Training Program**
  - Records Retention
  - Investigation Process and Guidelines
  - Discrimination, Harassment and Retaliation
- **Alternative Organizational Structures**



# Case Management System

## Accomplishments

- Human Resources (HRD) has established policies and provided training to investigative staff that:
  - Set clear expectations on the utilization of AIM-on-Target to manage and track investigations from investigating the allegation stage to issuing discipline; and
  - Beginning in FY20, HRD will provide annual performance reports to departments regarding the number of active cases, allegation type, findings, and time to conduct investigations

**AIM-on-Target:** The case management system used for employee investigations and discipline



# Guidelines for Investigation Process

## Accomplishments

- Drafted Investigation Guidelines for administrative investigations
- Collaborated with stakeholders for feedback:
  - HR Managers, Policy Advisory Group, and AFSCME
- Created an “Employee Relations (ER) Day”
- Delivered to Department HR Investigators in May and July of 2019

## Next Steps

- Continue training and implement new guidelines citywide beginning FY20



# Investigation Guidelines

The Guidelines specifically address the following issues identified in the Matrix report:

- Standard investigation protocol, reporting format and record retention requirements
- Step-by-step investigation process for conducting an investigation, including timelines, notices, roles and responsibilities
- Templates, checklists, and guidance on the structure of an investigation file
- Use of reports to issue timely personnel actions



# Training

## Accomplishments

- **ER Academy:** HRD has developed a series of training for investigators, titled the “ER Academy”
- **ER Day:** Citywide ER staff attended an all-day training (“ER Day”) on the new Investigation Guidelines in May and July 2019, which included:
  - Investigation process: timelines, notifications, roles and responsibilities
  - Templates and checklists
  - Records retention requirements
- **Sexual Harassment:** HRD has created online sexual harassment training pending mandatory Citywide roll-out



# Training (Continued)

## Next Steps

- **Municipal Civil Service (MCS) Rules:** Citywide HR staff will complete an all-day training in August of 2019 on:
  - Discipline
  - Hiring
  - MCS Appeal process
- **EEOC:** Three trainings with EEOC were conducted in FY17, with additional trainings to be held in FY20





# Alternative Organizational Structure Review and Implementation

- Newly hired HRD ER Investigators have been assigned to investigations and training only
- HRD will continue to restructure the ER Division as new Investigators are hired to separate consulting and investigative functions
- HRD has assessed the need for an additional FTE for the Employee Relations Division



# Additional Initiatives

- **Specialized Training:**
  - Collaboration with the Law Department to provide in-person sexual harassment training in FY20
- **Collaborations**
  - Surveying sworn personnel and creating an RFP for additional sexual harassment training in FY20



# Additional Initiatives

- **Policy Updates:**
  - Personnel Policies (Chapter A and Chapter B) are being revised
  - Discrimination, harassment and retaliation policies for sworn departments are being updated to be consistent with current Chapter A language
  - Sworn department sexual harassment allegations are referred to HRD for consultation and/or investigation



# Additional Initiatives

- Master Agreement for third parties to conduct:
  - Investigations
  - Investigation reviews of discrimination, harassment and retaliation investigations that result in no-findings
  - Mediation services





# Questions?

