

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

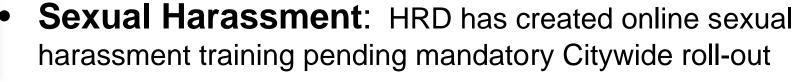




Training

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







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?



