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# Executive Summary

## Key Findings

This audit of the Human Resources (HR) complaint investigation process focuses on whether the county can improve the efficiency and effectiveness of its investigations of submitted HR type complaints. Prompt investigations are critical to both the complainant and the individual accused of the inappropriate conduct (respondent) because both live in uncertainty until the investigation is complete. Opportunities for improvement exist related to training, written policies and procedures, documentation and record keeping.

Employees are not required to attend regular training on employment policies and practices (EPP's). This does not align with best practices, attendance should be required. For example, routine attendance is not required at training on the Americans with Disabilities Act (ADA), harassment, equal employment opportunity (EEO) complaint and grievance resolution.

Workplace complaint processes are not supported by detailed written policies and procedures. HR does have a flow chart which provides a general overview of the investigation process, however, something in the form of a detailed standard operating procedures manual should exist to help address external scrutiny. This documentation helps the county demonstrate it conducts thorough, fair, and systematic investigations. And that the county encourages mediation and early resolution of conflicts.

HR should create a systematic structure for their complaint files. The complaint file was often provided to us in no particular order. A systematic structure helps ensure documentation is easy to find and everything is present.

After an investigation is complete and the final report is issued, if corrective actions are recommended in the final report (e.g. training), HR should follow-up with department management. The goal is to ensure recommendations are implemented or ensure the reason for non-implementation is appropriate.

We also made recommendations to update EPP's, develop a quality assurance process, improve communication and more.

## Key Recommendations



Our specific recommendations for management are included on page 17 of this report. In summary, we made recommendations to ensure:

- Regular required training of employees on EEO, harassment and ADA policies.
- Detailed written policies and procedures are developed related to the HR complaint process.
- HR complaint files are organized in a systematic structure.
- HR follows up on recommendations in their report to management, as determined necessary and appropriate.

## Response

Management's response is located at the end of the report.