

Louisville Metro Government

Non-Union Employee Complaint
Process



Office of Internal Audit

Agenda

- Audit Objective
- Audit Scope and Methodology
- Commendable Areas
- Internal Control Rating
- Findings and Recommendations
- Corrective Actions
- Questions

Audit Objective

- Assess the Non-Union Employee Complaint Process:
 - Human Resources' process for receiving, investigating, tracking, and closing complaints.
 - Compliance with any related policies and procedures.

Audit Scope and Methodology

- **Scope**

- Review Period April 1, 2020 - May 31, 2021
- Policies and Procedures (As of May 2021)

Audit Scope and Methodology

■ Methodology

- Reviewed (4) completed non-union investigation files.
- Surveyed (24) Metro Government Departments regarding the complaint process.
- Benchmarked (3) peer municipal human resource departments processes.

Audit Scope and Methodology

- **Methodology**
 - Identified best practices for performing employee complaint investigations as defined by the Society of Human Resources Management (SHRM).

Commendable Areas

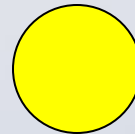
- ★ The HR Compliance Team was transparent and cooperative throughout the audit.
- ★ The HR Compliance Team played an active role in identifying process improvements to strengthen controls surrounding the non-union employee complaint process.

Internal Control Ratings

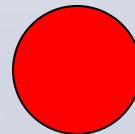
▪ Satisfactory



▪ Needs Improvement



▪ Inadequate





Rating Criteria - Inadequate

<u>Criteria</u>	<u>Inadequate</u>
<i>Issues</i>	Impact on operations likely widespread or compounding.
<i>Controls</i>	Do not exist or are not reliable.
<i>Policy Compliance</i>	Non-compliance issues are pervasive, significant, or have severe consequences.
<i>Image</i>	Severe risk of damage.
<i>Corrective Action</i>	Immediate.

Findings and Recommendations

Observations

1. Outdated SOPs / No guidance for investigations that involve appointed employees.
2. No minimum criteria or guidelines to guide departments in investigating complaints.

Recommendations

1. Ensure the SOPs include procedures for all investigations, including those involving appointed employees.
2. Establish guidelines for departments investigating non-union employee complaints.

Findings and Recommendations

Observations

3. No evidence of investigation results being shared with complainants and /or department director.
4. No defined training requirements for employees tasked with performing investigations.

Recommendations

3. Provide results to the complainant and their director. Maintain a copy of the final communication (results) in the investigation file.
4. Define training requirements for all employees tasked with employee complaint investigations.

Findings and Recommendations

Observations

5. No method to track and monitor complaints investigated at the department level.
6. Investigation files were inconsistent regarding how investigations were documented, and the documentation maintained in the file.

Recommendations

5. Establish a method to track and monitor complaints filed and investigated within the departments.
6. Update SOPs to note the documents required to be created, obtained, and / or maintained in the investigation file.

Corrective Actions

Human Resources concurs and will implement all recommendations.

Target Implementation Dates:
April 2022 - September 2022

Questions