

AUDIT REPORT TRACKING SYSTEM (ARTS)

SECTION I: SUMMARY INFORMATION			
Audit Title:	EEO Complaint Investigation Efficiency Can Be Improved Through Better Documentation and Data	Audit Release Date:	04/19/2017
Department:	Human Resources	Last Report Date:	First ARTS Report
Department Director:	Gary O'Bannon	This Report Date:	10/18/2017
Contact Person/Phone:	Gary O'Bannon/513-1925	Expected Presentation Date:	11/08/2017
SECTION II: RECORD OF IMPLEMENTED RECOMMENDATIONS			
1. Implemented 04/13/17	6. Implemented 05/02/17	7. Implemented 05/02/17	8. Implemented 08/30/17
2. Implemented 05/02/17	9. Implemented 04/13/17	10. Implemented 08/30/17	
3. Implemented 04/13/17			
4. Implemented 04/13/17			
5. Implemented 04/13/17			
SECTION III: SUMMARY OF IMPLEMENTATION EFFORTS			
Recommendation 1: The director of human resources should ensure a file is established and maintained for each complaint submitted to the EEO Office.			
<i>Status of Recommendation: Implemented</i>			
The EEO Intake Officer creates both a hard copy file and an online file for all complaints reported to the EEO Office.			
Recommendation 2: The director of human resources should ensure EEO staff use standardized checklists and documentation procedures when determining EEO complaint eligibility.			
<i>Status of Recommendation: Implemented</i>			
A checklist was created to document the Complaint Inquiry Process. A list of action items is created after each weekly meeting to document what was discussed and who is responsible for completing the action item.			
Recommendation 3: The director of human resources should ensure EEO investigators demonstrate their investigation planning process within the complaint file.			
<i>Status of Recommendation: Implemented</i>			
A standardized Investigative plan is completed for each case that is investigated. The plan lists the Complainant, Respondent, witnesses and any additional sources of information that were reviewed during the investigation.			
Recommendation 4: The director of human resources should ensure EEO staff documents how investigation conclusions are linked to evidence in the EEO files.			
<i>Status of Recommendation: Implemented</i>			
A standardized Investigative plan is completed for each case that is investigated. The plan contains a list of questions that should be answered during the investigative process, as well as determinations of credibility of sources of information. Lastly, the plan lists the findings based on the sources of information.			
Recommendation 5: The director of human resources should ensure EEO statements and conclusion in the final summary undergo a documented quality assurance process.			
<i>Status of Recommendation: Implemented</i>			
The EEO Investigator submits the investigative plan with the findings to the EEO Manager for review. The EEO Manager forwards the findings for review to the HR Director and the Attorney assigned to Human Resources. The findings are reviewed by the EEO Review Committee, who make the final decision and any associated recommendations including disciplinary action and/or other interventions.			

<p>Recommendation 6: The director of human resources should ensure EEO staff follows office policies on investigation file organization and documentation.</p>
<p><i>Status of Recommendation: Implemented</i></p>
<p>After collaborating with the Law Department, the EEO staff has established a procedure where all case files that are formally investigated by the EEO Office are organized according to internally developed predetermined standards.</p>
<p>Recommendation 7: The director of human resources should ensure a written communication is sent promptly to complainants explaining whether or not complaints submitted to the EEO Office will be investigated and the reason why or why not.</p>
<p><i>Status of Recommendation: Implemented</i></p>
<p>A checklist has been developed to ensure that Complainants are sent a letter explaining whether or not their complaints will be investigated.</p>
<p>Recommendation 8: The director of human resources should develop procedures to ensure EEO database information is accurate and complete.</p>
<p><i>Status of Recommendation: Implemented</i></p>
<p>The EEO Staff has established a procedure to audit the database records to ensure the data is accurate.</p>
<p>Recommendation 9: The director of human resources should ensure cases that are not investigated are excluded from the calculation used to establish the average number of days to complete an EEO investigation.</p>
<p><i>Status of Recommendation: Implemented</i></p>
<p>Cases that are not formally investigated are excluded from the calculation to establish the average number of days although we continue to document both data sets to determine workforce allocations.</p>
<p>Recommendation 10: The director of human resources should ensure EEO staff tracks the amount of time each milestone in the EEO process takes.</p>
<p><i>Status of Recommendation: Implemented</i></p>
<p>The EEO Staff uses the EEO Database and the standardized checklist to track the amount of time for each critical (date) milestone of the investigation process: Complaint Received, Intake Interview, Decision on Need to Investigate, Case Assigned to Investigator, Draft Final Summary, Investigation Closed, EEO Committee determination.</p>
<p>SECTION IV: ADDITIONAL OUTCOMES</p>
<p>The file documentation is more clearly organized, which makes it easier to demonstrate how determinations are made.</p>