



December 15, 2021

Performance Audit

Human Resources Department – Hiring Practices

Human Resources Department

Report No. 21-107



CITY OF ALBUQUERQUE
OFFICE OF INTERNAL AUDIT

City of Albuquerque - Office of Internal Audit

Human Resources Department – Hiring Practices

Performance Audit

December 15, 2021

Audit #21-107

The Office of Internal Audit (OIA) conducted a performance audit of the City of Albuquerque's (City) Human Resources Department's (HRD) hiring practices. The audit scope covered individuals hired between July 1, 2018 through June 30, 2020. Whereas, the audit excluded: unclassified, seasonal, temporary, union, interns, OIA, Human Resource Coordinators (HRCs), veterans, and internal-only hires. The audit is included in OIA's work plan for fiscal year 2021. The audit objectives were to determine whether hiring practices comply with applicable City policies and evaluate the hiring process for timeliness to ensure staffing needs are adequately met.

Executive Summary

OIA found no issue with information recorded in NeoGov as it relates to job posting timeframes, number of individuals who applied for a job posting, approvals during the hiring process, and qualifying individuals for the positions they were hired into. Additionally, OIA did not find issue with documentation that could be provided by the Human Resource Coordinators (HRCs) regarding the appropriateness of interview questions. However, the audit found that not all documentation related to employment hiring could be located either within the NeoGov system or in the documentation files maintained by the HRCs. Of the thirty (30) individuals hired and evaluated by OIA, the following items were missing: One (1) *Background Investigation Disclosure and Consent* form, one (1) *Relative Statement* form for the one (1) individual in the sample who indicated they had family within the City, and twenty-seven (27) employment reference check documents. Additionally, interview documentation was not properly maintained as: nineteen (19) interview question sets and scoring matrices, thirteen (13) candidate selections for interviews, and twelve (12) interview committee records could not be located.

OIA did not note any issues with qualifying individuals with experience in lieu of education, documentation of transcripts (when required), and the documentation of salary justifications. However, further formalization of these processes could improve the transparency of the hiring process. Experience in lieu of education determinations and salary justifications performed by HRCs are not formally documented on any standardized template that would allow for consistency. Additionally, transcripts obtained from candidates are not required to be official. Finally, OIA also reviewed candidate information such as names, start dates, and salary information in NeoGov to ensure it accurately transferred over to PeopleSoft once the candidates were hired. Out of the sample of thirty (30) individuals reviewed, OIA found only one (1) individual whose hourly rate was incorrect. As a result, the individual was overpaid an estimated \$1,643.20.

Recommendations



HRD should:

- Develop city-wide policy that encapsulates all guidance provided to HRCs and defines what documentation should be maintained and where.
- If documentation is to be maintained by the HRCs, develop a process for transferring hiring records when an HRC leaves their position.
- Consider acquiring a repository system for all hiring records so that they may be maintained within one place.
- Implement a periodic, routine review of hires completed to ensure all requirements have been adhered to.
- Develop a standardized template to document HRC determinations when experience in lieu of education (or vice versa) is utilized to qualify candidates.
- Require that candidates submit official transcripts when transcripts are required for the job posting.
- Develop a standardized template for *Salary Justification* memos with required content elements
- Investigate whether the overpayment was addressed with the employee. If not, investigate whether it is possible to seek recoupment.
- Consider obtaining a recruiting and hiring system that directly interfaces with the PeopleSoft system without having to develop a mechanism to transfer data.
- Perform an assessment of a sample of individuals hired within the past two years to identify if there were other individuals brought on at an inaccurate hourly rate.

HRD concurs with nine (9) of the ten (10) recommendations made and partially concurs with one recommendation. The response of the department is attached as an appendix. OIA will work with the department regarding the status of the open recommendations made in this report.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107



City of Albuquerque

Office of Internal Audit

December 15, 2021

Accountability in Government Oversight Committee
P.O. Box 1293
Albuquerque, New Mexico 87103

Audit: Hiring Practices Audit
 Human Resources Department
 Audit No. 21-107

INTRODUCTION

The Office of Internal Audit (OIA) conducted a performance audit on the City of Albuquerque's (City) Human Resources Department's (HRD) hiring practices. The audit scope covered all hires between the time period of July 1, 2018 through June 30, 2020 and excluded: unclassified, seasonal, temporary, union, interns, OIA, Human Resource Coordinators (HRCs), veterans, and internal-only hires. The audit is included in OIA's work plan for fiscal year 2021.

The audit objectives were to:

- Determine whether hiring practices comply with applicable City policies.
- Evaluate the hiring process for timeliness to ensure staffing needs are adequately met.

Further information pertaining to the audit objectives, scope and methodology can be found in **Appendix A**.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

BACKGROUND

The mission of HRD is to make the City of Albuquerque a model employer that provides equal employment opportunity, values diversity, promotes inclusiveness and provides exceptional customer service to recruit and retain a workforce of dedicated public servants that reflects the populations we serve.

HRD (also referred to as Central HR) oversees the City's hiring practices. In this effort, the Classification and Compensation (Class and Comp) and Employment Division is responsible for developing and deploying hiring guidance and practices. These documents are in the form of *Personnel Rules and Regulations* and various guidance documents maintained on the SharePoint site which is accessible by HRD and the HRCs. HRCs assist their assigned departments with human resource functions such as hiring, as detailed below. Most departments have dedicated HRC personnel however, departments that are smaller in comparison to others will have a Human Resource Analyst from HRD assist them in their HR functions.

The hiring process starts when a department identifies a need to hire; this can be in the form of an employee separating or transferring from the department. A requisition (the process by which a job posting is created within NeoGov) is then created in NeoGov, which is a cloud-based software the City uses for its recruiting and hiring process. A requisition is created by the HRC associated with the hiring department, which is then automatically forwarded in the NeoGov workflow to the Budget Department for review. The Budget Department reviews the requisition to ensure there is funding available to pay for the new position prior to proceeding to forward the requisition to Class and Comp for review. Class and Comp reviews the job description to ensure the job description has been reviewed within the past year. If there are any discrepancies at any point during the review process, then either the Budget Department or Class and Comp will work with the hiring department to address those issues prior to the requisition moving forward in the workflow.

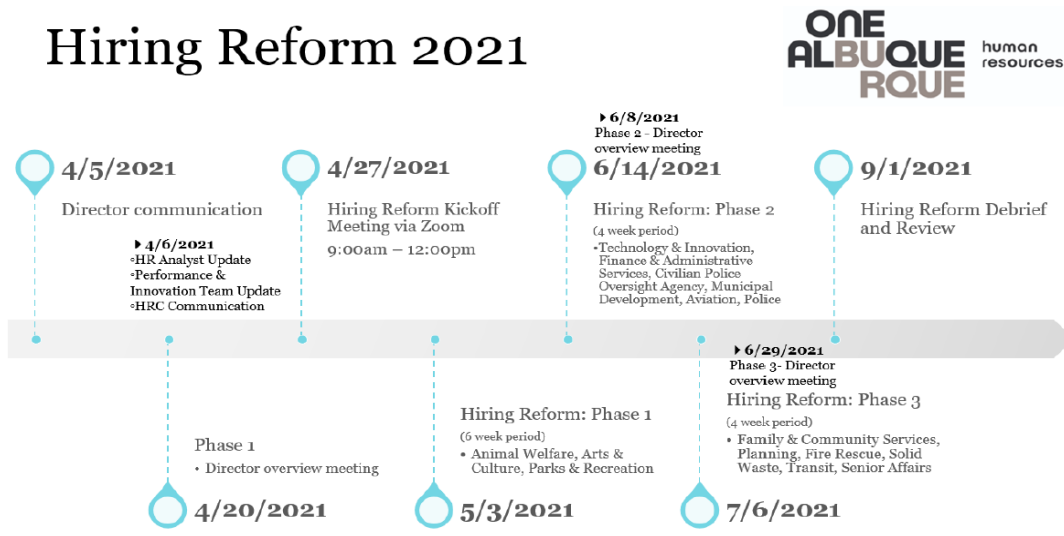
Once reviewed and approved by the hiring department, the job posting is created from the requisition and posted on the City's hiring website. This includes adding the job title, position summary, minimum education, experience, knowledge, skills and abilities. Once the posting has closed (or sometimes during), qualified candidates are identified by the HRCs and referred to the hiring manager. The hiring manager then selects the candidates to interview,

Hiring Practices Audit
 Human Resources Department
 December 15, 2021

#21-107

which the HRCs then schedule. Individuals not selected are automatically sent notices informing them they are not moving ahead in the hiring process.

Candidates are then interviewed by the hiring manager and others (interview committee) and based upon the interview team's rating, the top choice (or choices if more than one vacancy) is selected. The *Recommendation for Hire Checklist* is then completed by the HRC or Human Resource Analyst. This is a checklist that references other internal forms that must be included such as a *Relative Statement* if the individual indicated familial relationships within the City, *Background Investigation Disclosure and Consent* form that will be conducted by a third party, and also attachments provided by the candidate such as transcripts, diplomas, driver's license, and employment references. This documentation is then submitted for approval through various departments up to and including the Chief Administrative Officer for the City. The candidate can then be provided with an Offer Letter and assigned a potential start date.



¹ Graphic Information Below

The hiring process recently went through a process improvement initiative titled Hiring Reform 2021. The process started in April 2021 and was recently completed at the beginning of September of the same year and was a phased rollout to the various City departments. The goals were to remove many of the hiring process steps from Central HR and place them with the individual City departments through assigning more responsibilities to the HRCs so the departments could own and drive more of their hiring timelines. Central HR will then

¹ *Hiring Reform 2021 Debrief*, prepared by the Human Resources Department, September 1, 2021

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

provide oversight by acting as consultants, providing training, and developing overarching HR policies and guidance documents. Additionally, Central HR will perform daily audits of the work performed by the HRCs and will start reporting on hiring statistics across all City departments on a quarterly basis. Central HR is also working on other performance improvement projects such as transitioning the recruitment process from NeoGov to PeopleSoft so that recruitment data directly interfaces with employment data, working with City Legal on updating the contingent hiring process so that it is more efficient, and evaluating the addition of education verification checks with a third-party vendor for applicants and/or new hires.

FINDINGS

1. WHILE DOCUMENTATION THAT WAS OBTAINED DURING TESTWORK COMPLIED WITH CITY HIRING PRACTICES, THE PROCESS FOR MAINTAINING RECRUITMENT RECORDS COULD BE FURTHER IMPROVED.

OIA found no issue with information recorded in NeoGov as it relates to job posting timeframes, number of individuals who applied for a job posting, approvals during the hiring process, and qualifying individuals for the positions they were hired into. Additionally, OIA did not find issue with documentation that could be provided by the HRCs regarding appropriateness of interview questions. However, the audit found that not all documentation related to employment hiring could be located either within the NeoGov system or in the documentation files maintained by the HRCs.

For documentation related to confirming the identity, the familial status within the City, and work experience of the thirty (30) individuals hired, the following items could not be located: One (1) *Background Investigation Disclosure and Consent* form, one (1) *Relative Statement* form for the one (1) individual in the sample who indicated they had family within the City, and twenty-seven (27) employment reference check documentation. Additionally, interview documentation related to the same sample of thirty (30) was not properly maintained as: nineteen (19) interview question sets and scoring matrices, thirteen (13) candidate selections for interviews, and twelve (12) interview committee records could not be located.

Per the *Recommendation for Hire Checklist* utilized by HRD as the guidance template for all HRCs and Employment Analysts to follow when collecting documentation related to

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

the hiring of a candidate(s), items such as diplomas, transcripts, certifications, driver's licenses, resumes, *Relative Statements*, *Proof of Selective Service Registration*, Employment References, Background Investigation Disclosure and Consent form, *Release of Liability and Felony Identification* form, and Fiscal Impact forms "must be attached and verified by the HR Coordinator". Additionally, the *HR Coordinator Training – Online Hiring Center (OHC)* guidance states an "HR Coordinator must enter interview committee in the text box" and that candidates selected for interview should be indicated by the "Move to Interview" action in the workflow. The guidance also states "Save all interview packets at the Department Level with the HR Coordinator." Per *Article 3: Conflict of Interest § 3-3-9 Nepotism Prohibited* states "No relative of a city employee, by blood or marriage, may be employed in any position with the city in which the employee may be able directly to supervise, control or influence the work or employment status of the relative or the affairs of the organizational unit in which the relative is employed," which the *Relative Statement* helps to mitigate. Furthermore, the *Record Retention for Human Resources* guidance states "Interview packets, salary determinations, salary material: Permanent until further notice."

The lack of maintaining this documentation appears to be for a variety of reasons. Firstly, while there is guidance within various HRD documents about what should be maintained as referenced above, there is no overarching HRD policy that details these requirements in one place for ease of reference and formalization. Secondly, there is not a central repository available for these records to be maintained; record storage is the responsibility of the HRC and they can either upload the documentation to NeoGov or store it within their own records. However, OIA noted that there was a lack of consistency in the documentation uploaded and/or when HRCs changed positions, documentation was sometimes lost. Finally, it does not appear that periodic, routine inspection of new hires completed is performed that would provide feedback to HRCs on their hiring practices.

When this documentation is missing, it is difficult to substantiate that individuals have passed the background check, have nepotism mitigation plans in place, and have verified employment history. Additionally, the lack of interview questions, scoring matrices, composition of the interview panel, and selection of candidates for interview fails to provide an audit trail of the hiring process from candidate application through final selection and hire.

This documentation, when maintained, ensures the City follows record retention and any legal requirements. Additionally, it helps to substantiate the hiring process was followed

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

and the candidate(s) are qualified for the position for others in the review and approval process and in perpetuity.

RECOMMENDATIONS:

The Human Resources Department should:

1. Develop an overarching, City-wide policy that encapsulates all guidance provided to the Human Resource Coordinators (HRCs) and defines what documentation should be maintained. Also, detail whether that documentation is maintained within the recruiting and hiring system utilized or within the files maintained by the HRCs.
2. If documentation is to be maintained by the HRCs, develop a process for transferring hiring records when an HRC leaves their position.
3. Consider acquiring a repository system for all hiring records so that they may be maintained within one place.
4. Implement a periodic, routine review of hires completed to ensure all requirements have been adhered to. Evaluate the process from application through hiring and determine that necessary documentation is recorded.

2. OPPORTUNITIES EXIST TO IMPROVE THE TRANSPARENCY OF THE HIRING PROCESS.

While OIA did not note any issues with qualifying individuals with experience in lieu of education, documentation of transcripts (when required), and the documentation of salary justifications, further formalization of these processes could improve the transparency of the hiring process.

While reviewing candidates' qualifications for positions they were hired into, OIA noted six (6) instances out of thirty (30) where experience was substituted in lieu of education and found no issues. This is allowable per the *Guidelines for Qualifying Applicants*, "the City of Albuquerque may substitute experience in lieu of education and vice-versa. In order for the substitution to be considered, it must be indicated on the job posting." The guidance then details the equivalences that HRCs should follow. While OIA found no deviations from this guidance, OIA did note that there is no formalized documentation of this practice. Rather, this determination is located in the *Comments* section of the

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

Referred Candidate-Hire Details screen in NeoGov. Lack of formally documenting substitute experience/education on a form that can be shared or stored outside the system increases the risk that those determinations may not be maintained according to record retention requirements, especially if the recruiting and hiring system is to be changed in the future.

Another hiring practice utilized is for applicants to upload transcripts into NeoGov if the job posting requires them. Of the twenty-two (22) transcripts on file, only thirteen (13) were official². *Personnel Rules & Regulations Section 100: Application Rules and Procedures* states "Applicants are responsible for furnishing job-related documentation, including, but not limited to, a copy of educational transcripts, proof of the attainment of licenses, certificates, permits, degrees and registrations, as required, prior to an offer of employment." Lack of requiring official transcripts increases the risk that transcripts may be forged or incorrect and thus, not able to substantiate the educational qualifications of the candidates.

Finally, Wage Committee³ decisions are required when candidates are selected for hire and their recommended salaries fall outside of the standard pay calculation. When this is needed, a *Salary Justification* memo is prepared by the HRCs and submitted to the Wage Committee for approval. OIA identified twenty (20) candidates out of the thirty (30) evaluated who required Wage Committee approvals and all had memos completed and on file. However, OIA noted that content varied amongst the memos submitted to the Wage Committee. Some memos documented all the candidates interviewed and then listed the candidate selected for hire, while others only referenced the candidate selected. Others offered extensive details about the selected candidate's qualifications, while others only touched on the qualifications briefly. Per *HR Processes Refresher Training*, memos should include a "fact-based justification" and offers no further details on content requirements. OIA confirms that memos did include a fact-based justification however, there was variety in the content captured in the memos. When documentation allows for greater variability of information documented, lack of consistency and uniformity may develop and prevent the process of hiring candidates from being

2 Official transcripts are documents produced by the registrar's office from the associated school and contain an individual's academic history. The transcripts will also contain the official seal of the school and signature of the registrar. To maintain authenticity, the school will send the transcripts directly to the human resources department of an organization (by mail or email) at the request of the applicant.

3 The Wage Committee consists of the Human Resources Director, Director of Finance and Administrative Services, and the Chief Financial Officer.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

completely transparent throughout.

If documentation related to experience in lieu of education, transcripts (when required), and salary justifications are formalized for all the HRCs, the transparency of the City's hiring process would improve and illustrate consistent and fair treatment of all candidates.

RECOMMENDATIONS:

The Human Resources Department (HRD) should:

5. Develop a standardized template to document HRC determinations when experience in lieu of education (or vice versa) is utilized to qualify candidates. Require this form to be maintained as part of record retention requirements.
 6. Require that candidates submit official transcripts when transcripts are required for the job posting. Update the language in *Personnel Rules & Regulations Section 100: Application Rules and Procedures* to reflect this change as well as in any future HRD policies.
 7. Develop a standardized template for *Salary Justification* memos with required content elements. Consider the following information for inclusion: candidates selected for interview, list of the interview committee members, rationale for the candidate selected for hire, candidate educational and/or experience, and justification for salary determination.
3. ONE (1) OUT OF THIRTY (30) INDIVIDUALS EVALUATED WAS HIRED AT THE INCORRECT RATE RESULTING IN A POTENTIAL OVERPAYMENT OF \$1,643.20.

OIA reviewed candidate information such as names, start dates, and salary information in NeoGov to ensure it accurately transferred over to PeopleSoft once the candidates were hired. Out of the sample of thirty (30) individuals reviewed, OIA found one (1) individual whose hourly rate was incorrect.

Per the *Salary Justification* memo, the individual was to be hired at E18 Step 2 with an hourly rate of \$31.57. They were to remain at this rate until their six-month probation period was complete and then advance to E18 Step 3 with an hourly rate of \$33.15. However, OIA noted that the individual was immediately brought on with the higher rate

Hiring Practices Audit
 Human Resources Department
 December 15, 2021

#21-107

of \$33.15.

NeoGov is the recruiting and hiring system used by the City to hire employees. Once hired, employee information is maintained within the PeopleSoft software system which the City uses for human resource management. These two systems do not directly interface and thus, a mechanism by which information is conveyed from NeoGov to PeopleSoft was developed by HRD and PeopleSoft. Salary information in PeopleSoft is populated by the salary Step input by the HRC in NeoGov. To ensure information is transferred over accurately, reviews are performed by HRD staff daily. For this specific individual, the wrong Step information (E18 Step 3) was input into NeoGov by the HRC. The information was then transferred over into PeopleSoft and the daily review performed by HRD staff failed to identify this information as incorrect.

As a result, this individual was potentially overpaid by \$1,643.20 over the course of six months. The table below details the calculation for the estimated overpayment.

Position	Starting Pay Rate	Pay Rate after Completion of 6 Month Probation	Difference
Open Space Superintendent	E18 Step 2	E18 Step 3	n/a
Amount per Hour	\$31.57	\$33.15	\$1.58
Approximate Earnings over 6-month Period ⁴	\$32,832.80	\$34,476.00	\$1,643.20

RECOMMENDATIONS:

The Human Resources Department should:

8. Investigate whether the overpayment was addressed with the employee. If not, investigate whether repayment is possible and if so, obtain recoupment.

⁴ This is based on taking the average full-time employee working forty (40) hours per week (2,080 hours) and dividing it in half to arrive at an estimation of hours worked for six (6) months. This individual could have worked more or less than that.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

9. Consider obtaining a recruiting and hiring system that directly interfaces with the PeopleSoft system without having to develop a mechanism to transfer data.
10. Perform an assessment of a sample of individuals hired within the past two years to identify if there were other individuals brought on at an inaccurate hourly rate.

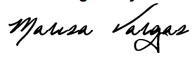
CONCLUSION

By implementing the recommendations detailed in this report, HRD can improve its ability to more effectively administer, manage, and hire new employees. HRD's response to the recommendations made are included in **APPENDIX B** of the report. We greatly appreciate the assistance of staff that participated throughout this audit.

Hiring Practices Audit
Human Resources Department
December 15, 2021


#21-107

PREPARED:

DocuSigned by:

OF462D006A1E4C8...

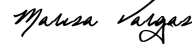
Marisa Vargas, Internal Audit Manager
Office of Internal Audit

REVIEWED:

DocuSigned by:

F50CB9721C59445...


Sarah Faford-Johnson, Contract Auditor
Office of Internal Audit

APPROVED:

DocuSigned by:

OF462D006A1E4C8...

Marisa Vargas, Acting City Auditor
Office of Internal Audit

APPROVED FOR PUBLICATION:

DocuSigned by:

645A1EA5A6314C3

Edmund E. Perea, Esq.
Accountability in Government Oversight Committee Chairperson

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

APPENDIX A

OBJECTIVES

The Office of Internal Audit (OIA) conducted a performance audit on the City of Albuquerque's (the City) Human Resources Department's (HRD) hiring practices. The audit scope covered hires between the time period of July 1, 2018 through June 30, 2020 and excluded: unclassified, seasonal, temporary, union, interns, OIA, Human Resource Coordinators (HRC), veterans, and internal-only hires. The audit is included in OIA's work plan for fiscal year 2021.

The audit objectives were to:

- Determine whether hiring practices comply with applicable City policies.
- Evaluate the hiring process for timeliness to ensure staffing needs are adequately met.

SCOPE AND LIMITATIONS

Our audit did not include an examination of all functions and activities outlined in HRD policies and guidance, including veteran hiring policies and practices. Our scope was limited to the objectives above and the time period of July 1, 2018 through June 30, 2020.

Specifically, the scope of the audit did not include a review of all 116 individuals hired during the period, as a random sample was deemed to be appropriate. This report and its conclusions are based on information taken from a sample of financial records, systems, and users and do not represent an examination of all related financial records, systems, and users. The audit report is based on our examination of functions and activities through the completion of fieldwork on November 24, 2021 and does not reflect events after that date.

City management is responsible for establishing and maintaining effective internal control and complying with laws and regulations.

In performance audits, a deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct (1) impairments of effectiveness or efficiency of operations, (2) misstatements in financial or performance information, or (3)

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

noncompliance with applicable laws, regulations, standards, guidelines, and/or best practices. A deficiency in design exists when (a) a control necessary to meet the control objective is missing or (b) an existing control is not properly designed so that, even if the control operates as designed, the control objective is not met. In the performance audit requirements, the term significant is comparable to the term material as used in the context of financial statement engagements. A deficiency in operation exists when a properly designed control does not operate as designed, or when the person performing the control does not possess the necessary authority or qualifications to perform the control effectively.

Our consideration of internal control was for the limited purpose described in our audit objectives and was not designed to identify all deficiencies in internal control. Therefore, unidentified deficiencies may exist. Accordingly, we do not express an opinion on the effectiveness of the City's internal control.

As part of the performance audit, OIA tested hiring process steps compliance with certain key provisions of available policy and guidance documentation. In addition, OIA tested the Human Resource Department's compliance with applicable laws, and regulations in overseeing the administration and execution of hiring process compliance.

Noncompliance with these requirements could directly and significantly affect the objectives of our audit. However, opining on compliance with all accordingly, we do not express an opinion.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

METHODOLOGY

Methodologies used to accomplish the audit objectives include but are not limited to the following:

- Interviewed Human Resources and City department personnel to understand standard operating procedures and monitoring practices.
- Observed the utilization of the NeoGov recruiting software.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107

- Reviewed Human Resources policies and procedures.
- Randomly selected a sample of 30 individuals, out of a total 116 individuals hired between July 1, 2018 and June 30, 2020. Scope exclusions included unclassified, seasonal, temporary, union, interns and internal-only hires. Additionally, excluded new hires into the OIA, HRCs, and veterans:
- Evaluated the posting timeframes for consistency and adequacy of advertising length.
- Reviewed the application and any supplemental information for the hired individual to determine they met the qualifications of the position.
- Assessed the number of individuals who applied for a position.
- Quantified the number of individuals who were selected for interview.
- Verified interview questions were in alignment with applicable requirements.
- Determined if interview questions were sufficient in number and relevant to the job description.
- Quantified the number of individuals who were part of the interview panel.
- Substantiated that interviews and their results were documented and maintained on file for the position.
- Ensured that individuals who stated they have familial relationships within the City, the *Relative Statement* has been completed and is maintained on file.
- Confirmed that reference checks have been performed and are documented for the individual prior to hiring.
- Validated that background checks have been performed and are documented for the individual prior to hiring.
- Verified that health screenings were performed, as applicable.
- Ascertained that all required approvals for a hire are documented and are appropriate.
- Established that requests and final determinations for wages outside of the standard pay calculation for an individual are documented and maintained on file.
- Inspected PeopleSoft records for accuracy of new hire information and data.
- Analyzed hiring timeframes on the above sample selection.

Hiring Practices Audit
 Human Resources Department
 December 15, 2021

#21-107
 APPENDIX B

Recommendations and Responses

For each recommendation, the responsible agency should indicate in the column labeled Department Response whether it concurs, does not concur, or partially concurs and provide a brief explanation. If it concurs with the recommendation, it should indicate the expected implementation date and implementation plan. If the responsible agency does not concur or partially concurs, it should provide an explanation and an alternate plan of action to address the identified issue.

Recommendation	Responsible Department	Department Response	OIA Use Only Status Determination*
<p>The Human Resources Department (HRD) should:</p> <ol style="list-style-type: none"> Develop an overarching, City-wide policy that encapsulates all guidance provided to Human Resource Coordinators (HRCs) and defines what documentation should be maintained. Also, detail whether that documentation is maintained within the recruiting and hiring system utilized or within the files maintained by the HRCs. 	<p>The Human Resources Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>HRD is currently working on a hiring policy in the form of an Administrative Instruction (AI). This policy will document the hiring process in its entirety. In addition, HR will be providing training to the HRCs regarding the policy. In regards to documentation, the City of Albuquerque follows the New Mexico Administrative Code (NMAC) for records retention. The Office of the City Clerk provides guidance as needed; Legal also provides updates as needed.</p> <p>HRD is currently working on a project to transition our recruiting system from NEOGOV to PeopleSoft. We have requested the ability to upload recruiting documents so that all documents are stored in one place. The current</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>

* Status Determination based on audit team's review of the agency's response and proposed corrective action.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107
APPENDIX B

Recommendation	Responsible Department	Department Response	<u>OIA Use Only</u> Status Determination*
		<p>process is for the HRCs at the department level to house and maintain their documents. At this time, the current process will remain.</p> <p><u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of June 30, 2022.</p>	
<p>2. If documentation is to be maintained by the HRCs, develop a process for transferring hiring records when an HRC leaves their position.</p>	<p>The Human Resources Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>HRD will develop an HRC exiting checklist to ensure that the department is aware of the current location of the hiring records, along with a plan to continue maintaining the records until the position is filled by an incoming individual.</p> <p><u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of June 30, 2022.</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>
<p>3. Consider acquiring a repository system for all hiring records so that they may be maintained within one place.</p>	<p>The Human Resources Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>HRD is working on this goal. As mentioned above, HRD is currently working on a project to transition our recruiting system from NEOGOV to PeopleSoft. We have requested the ability to upload recruiting documents so that all documents are stored in one place.</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>

* Status Determination based on audit team's review of the agency's response and proposed corrective action.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107
APPENDIX B

Recommendation	Responsible Department	Department Response	<u>OIA Use Only</u> Status Determination*
		<p><u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of December 31, 2022.</p>	
<p>4. Implement a periodic, routine review of hires completed to ensure all requirements have been adhered to. Evaluate the process from application through hiring and determine that necessary documentation is recorded.</p>	<p>The Human Resources Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>With the recent implementation of Hiring Reform 2021, HRD is now conducting daily audits of hires submitted in NEOGOV to ensure compliance of practices, policies and procedures. HRD reaches out to HRCs as issues are identified.</p> <p><u>ESTIMATED COMPLETION DATES</u> This item is complete.</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>
<p>5. Develop a standardized template to document Human Resource Coordinator (HRC) determinations when experience in lieu of education (or vice versa) is utilized to qualify candidates. Require this form to be maintained as part of record retention requirements.</p>	<p>The Human Resources Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>HRD will develop a standard template for HRCs to utilize.</p> <p><u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of June 30, 2022.</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>

* Status Determination based on audit team's review of the agency's response and proposed corrective action.

Hiring Practices Audit
 Human Resources Department
 December 15, 2021

#21-107
 APPENDIX B

Recommendation	Responsible Department	Department Response	<u>OIA Use Only</u> Status Determination*
<p>6. Require that candidates submit official transcripts when transcripts are required for the job posting. Update the language in <i>Personnel Rules & Regulations Section 100: Application Rules and Procedures</i> to reflect this change as well as in any future Human Resource policies.</p>	<p>The Human Resources Department</p>	<p><input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input checked="" type="checkbox"/> Partially Concur</p> <p>As part of the new AI, HRD will define what the City will accept as an official transcript. The goal is to ensure that the City is not enacting barriers to employment or lengthening the time to fill a position. Additionally, HRCs will be required to conduct a visual verification and if there is any uncertainty, they can verify school accreditation through several websites and/or verify legitimacy of the transcript by contacting the school directly regardless of accreditation.</p> <p><u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of June 30, 2022.</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>

* Status Determination based on audit team's review of the agency's response and proposed corrective action.

Hiring Practices Audit
Human Resources Department
December 15, 2021

#21-107
APPENDIX B

Recommendation	Responsible Department	Department Response	<u>OIA Use Only</u> Status Determination*
7. Develop a standardized template for <i>Salary Justification</i> memos with required content elements. Consider the following for inclusion: candidates selected for interview, list of the interview committee members, rationale for the candidate selected for hire, candidate educational and/or experience, and justification for salary determination.	The Human Resources Department	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur HRD will develop a standard template for HRCs to utilize. <u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of June 30, 2022.	<input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested
8. Investigate whether the overpayment was addressed with the employee. If not, investigate whether repayment is possible and if so, obtain recoupment	The Human Resources Department	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur HRD is in the process of investigating and will determine next steps. <u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of March 2022.	<input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested
9. Consider obtaining a recruiting and hiring system that directly interfaces with the	The Human Resources Department	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur	<input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested

* Status Determination based on audit team's review of the agency's response and proposed corrective action.

Hiring Practices Audit
 Human Resources Department
 December 15, 2021

#21-107
 APPENDIX B

Recommendation	Responsible Department	Department Response	<u>OIA Use Only</u> Status Determination*
PeopleSoft system without having to develop a mechanism to transfer data.		HRD is currently working on a project to transition our recruiting system from NEOGOV to PeopleSoft. <u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of December 31, 2022.	
10. Perform an assessment of a sample of individuals hired within the past two years to identify if there were other individuals brought on at an inaccurate hourly rate.	The Human Resources Department	<input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur HRD will audit a sample of 120 hires to determine if there were other individuals brought in at an inaccurate hourly rate. <u>ESTIMATED COMPLETION DATES</u> HRD estimates a completion date of June 30, 2022.	<input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested

* Status Determination based on audit team's review of the agency's response and proposed corrective action.