



City Auditor's Office

Human Resources Hiring Process Audit

Report Issued: February 10, 2022

Audit Report No. 21-07

Auditor-In-Charge: Timothy DiSano, CIA, CISA, CFE

Auditor: Jessica Pautz, MBA



TO: Mayor Gunter and Council Members

FROM: Andrea R. Russell, City Auditor *all*

DATE: February 10, 2022

SUBJECT: Human Resources (HR) Hiring Process Audit

The City Auditor's Office has completed the audit of the HR Hiring Process. The audit was conducted in conformance with Generally Accepted Government Auditing Standards by the authority granted through City Ordinances 28-02 and 79-10.

If you have any questions or comments regarding this audit, please contact Timothy DiSano at 242-3308 or Jessica Pautz at 242-3382.

C: Rob Hernandez, City Manager
Connie Barron, Assistant City Manager
Maureen Buice, Assistant to the City Manager
Dolores Menendez, City Attorney
Kimberly Bruns, City Clerk
Jacquelin Collins, Charter Schools Superintendent
Lisa Sonogo, Human Resources Director
Dave Anderson, Talent Acquisition Manager
Matt Grambow, Special Projects Coordinator
Audit Committee

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EXECUTIVE SUMMARY

The City Auditor's Office conducted a performance audit of the HR Hiring Process. This audit is included in the City Auditor's FY21 approved Audit Plan as proposed for FY22.

Based on the test work performed and the audit recommendations noted below, we concluded overall that there is reliance on high level policy and regulatory documentation that does not contain detailed procedures for daily activities. We noted control deficiencies in the following areas:

- Requisition Process
- Applicant Screening
- HR Hiring Process Documentation
- Charter School Authority (CSA) Hiring Process

For further details on these findings and recommendations, see the Findings and Recommendations section. While we noted insufficient controls in certain areas, no material control deficiencies or non-compliance were noted.

BACKGROUND

Human Resources consists of several divisions which include Class and Compensation, Employee Relations, Benefits, Talent Acquisition, Training and Development, and Charter School Liaison. All divisions and positions work together to assist with HR's overall mission of "being the ambassadors to make peoples journey smooth from applicant to employee, during their successful years of service, and into retirement". Employment opportunities and hiring are handled through the Talent Acquisition division. CSA positions are handled through the Charter School Liaison.

Talent Acquisition is responsible for the following:

- Recruitment Administration
- Workforce and Strategic Planning
- Employment Application Processing
- Job Opportunity Announcements
- Employment Policy Consultant
- Pre-Employment Assessments & Evaluations
- Pre-Employment Background Screenings
- Career Fairs

Talent Acquisition is staffed by one Manger and three Talent Acquisition Specialists. The Charter School employs one HR Manager who reports to the Superintendent and a Charter

School Liaison. The Charter School Liaison is employed by the City of Cape Coral's (City) HR department but is located at the Charter School.

During the scope of the audit, the City filled 801 positions. The positions included full-time, seasonal, and contract employees. The chart below shows how many employees were hired per department:

Department	# of Employees Hired
City Attorney's Office	2
City Auditor's Office	3
City Clerk's Office	9
City Manager's Office	2
Department of Community Development	52
Finance Department	44
Fire Department	56
Human Resources Department	6
Information Technology Services	3
Parks and Recreation Department	404
Police Department	87
Public Works Department	50
Utilities Department	83
Total	801

Source: HR Department

The Charter School filled 139 positions during the scope of the audit. Of the 139 positions, 29 of the positions were administrative staff and not teachers or food service. The chart below displays a breakdown of the positions:

Position Title	# of Employees Hired
Assistant Principal - Oasis Elementary South	1
Assistant Principal - Oasis High School	1
Athletic Director - Oasis High School	1
Career Specialist - Oasis High	1
Career Specialist Oasis High School	1
Charter School Bookkeeper	1
Charter School Bus Driver	13
Charter School Security Guard	1
Charter School Social Worker	1
Receptionist - Christa McAuliffe Elementary	1
Receptionist - Oasis High School	1
Substitute Bus Driver	4
Transportation Coordinator	2
Total	29

Source: HR Department

According to HR, in FY22 the City had 1,600 budgeted full-time positions and 1,499 of those positions were filled. 340 different job classifications make-up the 1,600 positions within the City. For FY22 the Charter School had 403 budgeted positions and 339 of those positions were filled. 61 different job classifications make-up the 403 positions within the Charter School. The recruitment process is managed through OnBase and NEOGOV systems. HR also utilizes Screening One as a third-party administrator for certain employment screening processes.

AUDIT OBJECTIVE

The audit objective was to determine if controls over the personnel hiring process were in place and operating in accordance with regulations and policies and procedures.

STATEMENT OF AUDITING STANDARDS

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.

FINDINGS AND RECOMMENDATIONS

FINDING 2021-01 Requisition Process Needs Review **Rank: Medium**

Condition:

Talent Acquisition uses the position requisition to post jobs and track the positions in NEOGOV. We selected a sample of 60 requisitions to review and determine if they were processed in accordance with applicable regulations and procedures, Administrative Regulation (AR) 29 and other HR policies and procedures. We noted 45 of 60 (75%) requisitions did not receive Department Director approval, as indicated in the NEOGOV workflow. Approvals were often given by a supervisor or Senior Administrative Assistant as the Director designee. HR needs to clearly define appropriate approvals in policies and procedures because dependance on workflow rules can be unreliable and doesn't provide documentation of clear approval or authorization.

Personnel Ordinance 2-36.4(a) states "When the City Manager, City Attorney or City Auditor determine that the duties and responsibilities of a classification are not appropriately described in any existing specification, The City Manager, City Attorney or City Auditor may create a new classification and assign said classification to an appropriate pay grade on the appropriate salary schedule provided that the City Council first approves the creation of the classification and the assignment to a pay grade." Based on our testing, we noted controls need improvement

over this process because 11 of 23 (48%) new positions tested were not approved by Council according to the Ordinance.

Criteria:

- City of Cape Coral Code of Ordinances, Article 3: Personnel Rules and Regulations, 2-36.4
- AR 29: Procedure for Hiring and Promoting Employees
- Recruitment Process and Procedures (internal HR document)
 - Section 1 – Creating and Approving a Requisition

Cause:

- Lack of defined requirements, roles, and responsibilities
- Insufficient controls

Effect:

- Potential posting and filling of unapproved positions

RECOMMENDATIONS:

2021-01a: Document procedures and requirements for requisition approval prior to job posting.

2021-01b: Establish controls to ensure all job classifications and pay grades are approved by City Council prior to fulfillment.

Management Response and Corrective Action Plan:

2021-01a Select one of these boxes: ☒ **Agree** ☐ **Partially agree*** ☐ **Disagree***

*For partially agree or disagree provide reasoning on why:

2021-01a We will be updating our procedure manual to include a description and brief process of how positions are approved prior to a job being posted.

2021-01a Management Action Plan Coordinator: Human Resources Director

2021-01a Anticipated Completion Date: April 1, 2022

2021-01b Select one of these boxes: ☒ **Agree** ☐ **Partially agree*** ☐ **Disagree***

*For partially agree or disagree provide reasoning on why:

2021-01b Although we still believe the positions were approved by City Council during the budget adoption process, moving forward HR will work with Finance to assist in ensuring classification and pay grade information is attached to new positions when going in front of City Council for approvals, such as adoption of the budget and/or any budget amendment. Positions will be posted as “anticipated vacancies”, when applicable, while waiting for final approval from City Council.

2021-01b Management Action Plan Coordinator: Human Resources Director and Financial Services Director

2021-01b Anticipated Completion Date: September 30, 2022

FINDING 2021-02 Applicant Screening Process Needs Improvement

Rank: High

Condition:

Interview Guides and Testing

The screening process consists of activities performed to preliminarily determine candidate qualifications, recruit, and interview candidates for open positions. As part of the process, Hiring Managers are required to compile interview guides and additional testing documentation for candidates, which are utilized to gain a better understanding of the candidate's qualifications and to assist hiring managers to make a fair decision on who is the best candidate to hire. During walkthroughs with HR personnel, we identified an informal and undocumented procedure whereby HR requires the hiring manager/ Director to submit interview guides and additional testing documentation prior HR posting the job. This requirement is not tracked or monitored by Talent Acquisition; therefore, it could not be tested by reviewing hiring file documentation. HR has expressed the importance of this requirement is to keep the hiring process moving and to avoid bottlenecks in the process.

As part of audit testing, we distributed a brief survey to hiring managers and departmental personnel who assist with completion of the hiring process. Survey respondents opined on the usefulness of the interview guides and the types of questions they are required to ask by HR. (Note: All the survey responses can be found in Appendix A.) The chart below contains a summary of some responses from the survey.

Question	Agree	Agree Somewhat	Neutral	Disagree Somewhat	Disagree
Interview guides provide the capability to understand a candidate's strengths and weaknesses.	27%	33%	16%	13%	12%
Scoring on interviewing guides helps select the most qualified candidate.	29%	31%	13%	18%	10%

Application Supplemental Questions

Talent Acquisition monitors and refers candidates through NEOGOV once a candidate application is submitted. As part of the application the Hiring Manager for the position can elect to include supplemental questions to assist in learning more about the applicant's qualifications. Supplemental questions can be multiple choice or open-ended. 23 of the 60 (38%) applications reviewed included open-ended questions which could potentially affect a candidate's referral to move forward in the hiring process.

Candidate List

Survey respondents also expressed concerns that they do not receive the full candidate list for their decision to refer candidates. There is no policy to allow for a review of the entire list of candidates by the Hiring Manager in coordination with HR.

Background Checks

A background investigation which may include a credit check if applicable are part of the candidate screening process that occurs after the applicant has accepted the employment offer. HR uses a third-party vendor to complete background and credit checks. Candidate education, certifications, employment, references, and credit review may be included in the background checks. Additional screening activities of fingerprinting and criminal background checks are performed by Cape Coral Police Department (CCPD), FDLE (Florida Department of Law Enforcement), or DCF (Department of Children and Families) depending on the requirements of the position and department. Talent Acquisition monitors background check information by utilizing a spreadsheet which outlines requirements for each position. All candidate's complete disclosure and authorization forms regarding the background investigation process.

Based on our review of files we noted the background authorization form is not collected and stored consistently. 29 out of 60 (48%) background authorization forms were only stored in Screening One, and not directly in the personnel file. While this form does not indicate whether a background check was performed, inconsistent maintenance of the forms may lead to oversight of performance of a background check that is required for employment. During audit testing on December 15, 2021, HR made an update to Section 7 of the Recruitment Process and Procedures document which requires the disclosure forms from Screening One to be saved within the personnel file. Certain positions also require credit checks as part of the background check. Based on our review, we noted four out of 10 (40%) candidates whose positions required a credit check did not have one performed through Screening One.

Section 9.5 of Recruitment Process and Procedures internal HR document outlines what is reviewed during the background process. Number 3 in Section 9.5 states: "Verify the highest completed level of education by the candidate." For 12 out of 60 (20%) candidates we noted no documentation on file to indicate the education verification was performed in accordance with this procedure.

Finally, as part of our testing we noted the city does not verify any candidate preferred qualifications listed in the job posting. These preferred qualifications should be verified especially considering that candidates may receive additional points in the interview and hiring process based on preferred qualifications. As part of testing, we noted 13 of 18 (72%) candidates had unvalidated preferred qualifications.

Criteria:

- City of Cape Coral Code of Ordinances, Article 3: Personnel Rules and Regulations
- AR 29: Procedure for Hiring and Promoting Employees
- AR 60: Background Investigation Policy
- Recruitment Process and Procedures maintained by Human Resources
- Job Descriptions

- Background Requirements spreadsheet maintained by Human Resources

Cause:

- Inconsistent defined requirements, roles, and responsibilities
- Inconsistent subject matter expert review
- Limited monitoring

Effect:

- Missing approval or authorization
- HR files with potentially inconsistent/ missing documents
- Potential loss of a qualified candidate
- Candidates possibly rejected improperly

RECOMMENDATIONS:

- 2021-02a: Establish and document policy and procedures for applicant screening that will be made available to Director's and Hiring Managers. These policies and procedures should include, at a minimum, the required steps in the screening process, optional steps and clearly define roles and responsibilities.
- 2021-02b: Update background screening requirements and documentation to agree to current policies in practice.

Management Response and Corrective Action Plan:

2021-02a Select one of these boxes: ☐ **Agree** ☒ **Partially agree*** ☐ **Disagree***

*For partially agree or disagree provide reasoning on why:

2021-02a We partially agree because we do have many processes and workflows already established that Director's and Hiring Managers have been provided and understand. Policies and procedures manual will be updated accordingly. Moving forward, the talent acquisition team will be developing and rolling out by department, small group discussion sessions to ensure a complete understanding of all policies, procedures and workflows around the hiring process is clarified. All applicants are evaluated based on the minimum requirements of the position.

2021-02a **Management Action Plan Coordinator:** Human Resources Director

2021-02a **Anticipated Completion Date:** September 30, 2022

2021-02b Select one of these boxes: ☒ **Agree** ☐ **Partially agree*** ☐ **Disagree***

*For partially agree or disagree provide reasoning on why:

2021-02b Processes, documentation and policies related to the background screening requirements are either already current or were updated during the audit process (background investigation Disclosure & Authorization forms are now a part of the employee file). Any additional modifications will be updated accordingly. Education verification procedure has been updated in procedure manual.

2021-02b **Management Action Plan Coordinator:** Human Resources Director

2021-02b **Anticipated Completion Date:** June 30, 2022

FINDING 2021-03 HR Hiring Process Documentation Needs Improvement

Rank: High

Condition:

HR administers the hiring process for the City of Cape Coral. In general, they utilize the Personnel Ordinance, Administrative Regulations (AR's), and applicable Federal and State personnel regulations to guide talent acquisition specialists and hiring managers through the hiring process. It should be noted that two of the three HR AR's (AR 29 and AR 45), utilized by hiring managers, do not agree to current practices and both AR's were scheduled for review, which at the time of the audit were overdue. (AR 29 review date was July 1, 2020, and AR 45 review date of July 1, 2018). We also noted it is common for HR to provide guidance through verbal communication and emails. Although we noted no material instances of non-compliance with the Ordinance, AR's, or regulations, we noted several instances where procedures were unclear or undocumented.

HR does not have formal documented guidelines, other than the high-level ordinance, and AR's. Detailed procedures are useful to provide clear guidance on requirements for the hiring process. For example, as part of our testing we noted that documentation in personnel files was incomplete or certain documents were not located in the official file; however, in some instances HR was able to locate these documents. The requirements for documentation in the files can be found in internal documents such as the HR maintained Recruitment Process and Procedures document, but this document is not available to those individuals outside of HR and there is some inconsistency in the application of the document by talent acquisition specialists. The ordinance or AR's do not provide the detail that is often needed to navigate the hiring process. We also noted 21 of the 60 (35%) personnel files reviewed did not have the required documents. Details of the 21 exceptions are:

- *Different fingerprint procedures for Parks and Recreation (P&R) Department*
 - The P&R Department follows a different workflow for promotion, transfer, or demotion. We noted during testing, when an employee is moved from contract to full-time or promoted within P&R they are not fingerprinted again, as required with all other departments. 4 out of 9 (44%) employees included in our sample did not have the required DCF fingerprinting completed upon promotion. HR and P&R do not perform any additional monitoring of fingerprints because this is handled by a third-party vendor.
- *Inconsistency in personnel file documentation for the Police Department*
 - Police personnel files did not include job descriptions as part of the file which does not comply with internal HR procedures.
- 12 of the 60 (20%) of requisitions reviewed in NEOGOV did not have a final eligibility list due to the reasons above. A final eligibility list provides information to close out the requisition.

Clearly documented procedures provide guidance to those navigating the hiring process, both in HR and City departments. Quality reviews of personnel files help to ensure all documentation according to procedures and guidelines is included in the files in compliance with rules and regulations.

Criteria:

- City of Cape Coral Code of Ordinances, Article 3: Personnel Rules and Regulations
- AR 29: Procedure for Hiring and Promoting Employees
- AR 45: Drug Free Workplace
- Recruitment Process and Procedures (Internal HR document)
- Job Descriptions
- Background Requirements spreadsheet (Internal HR document)

Cause:

- Inconsistent application of internal guidelines
- Reliance on high level policy and regulatory documentation that does not contain detailed procedures for daily activities
- Quality review procedure needs improvement
- Guidelines available to Department Directors and Hiring Managers need improvement

Effect:

- Potential non-compliance with regulatory requirements
- Potential inconsistent interpretation of hiring processes
- Incomplete personnel files

RECOMMENDATIONS:

- 2021-03a: Document hiring procedures in one place such as a policies and procedures manual and provide those participating in the process clear guidance on hiring process requirements.
- 2021-03b: Improve the current quality review system to ensure proper process is completed and personnel files contain required documentation.
- 2021-03c: Review and update Administrative Regulation 29, Procedure for Hiring and Promoting Employees, and Administrative Regulation 45, Drug Free Workplace.

Management Response and Corrective Action Plan:

2021-03a Select one of these boxes: ☒ **Agree** ☐ **Partially agree*** ☐ **Disagree***

*For partially agree or disagree provide reasoning on why:

2021-03a AR's, a procedure manual and several additional workflows that provide the process guidelines and requirements for hiring individuals are currently in place. Our current policy and procedure manual will be updated and enhanced accordingly, and a short reference guide will be created to help identify available policies and procedures related to the hiring process. HR will review and update any processes/procedures appropriately and will evaluate communication options to update key stakeholders on any changes in the hiring process; The Parks & Recreation department DCF fingerprinting process was previously explained pre-audit and is completed correctly and accurately. Will update procedure manual as needed.

2021-03a **Management Action Plan Coordinator:** Human Resources Director

2021-03a **Anticipated Completion Date:** September 30, 2022

2021-03b	Select one of these boxes: <input type="checkbox"/> Agree <input checked="" type="checkbox"/> Partially agree* <input type="checkbox"/> Disagree* *For partially agree or disagree provide reasoning on why:
2021-03b	We partially agree because the process currently in place ensures all necessary documents are included in new hire hiring packets as talent acquisition utilizes a New Hire Checklist form confirming all required documents are signed and included. Pre-audit information included we were converting from paper to electronic files and going through the QA/QC check process to ensure uploaded files were inclusive of all required documents. Moving forward appropriate updates will occur to ensure processes are in place.
2021-03b	Management Action Plan Coordinator: Human Resources Director
2021-03b	Anticipated Completion Date: June 30, 2022
2021-03c	Select one of these boxes: <input checked="" type="checkbox"/> Agree <input type="checkbox"/> Partially agree* <input type="checkbox"/> Disagree* *For partially agree or disagree provide reasoning on why:
2021-03c	Updates to both AR's is currently in process and is on schedule per recent full-City AR audit; will review and ensure all processes in our procedure manual/workflows mirror both AR's.
2021-03c	Management Action Plan Coordinator: Human Resources Director
2021-03c	Anticipated Completion Date: September 30, 2022

FINDING 2021-04 Charter School Authority (CSA) Hiring Process Needs Improvement **Rank: High**

Condition:

The CSA administers the hiring process for Charter School personnel. The CSA follows Neola, formerly known as North East Ohio Learning Associates, policies, which state the Superintendent shall develop appropriate employment procedures governing the recruitment, screening, selection, appointment, and employment of all personnel consistent with Florida Statutes, State Board of Education rules, Federal requirements, and Board policies.

The CSA employs an HR Manager and the City of Cape Coral employees the Charter School HR liaison who assists the CSA with the hiring process. As part of our HR Hiring process audit, we reviewed and tested a sample of 14 administrative positions. We did not include any teachers in our sample.

The CSA utilizes Announcement Certifications to initiate postings. The Principal completes Announcement Certifications which are approved by the Superintendent and Business Manager prior to forwarding the form to the HR Liaison for advertisement in NEOGOV. We reviewed 14 positions for testing, six (43%) did not have a signed announcement certification. Per CSA HR Manager, announcement certifications are only used for a job they are posting. Announcement certifications are not required for internal promotions within the same department. By posting all positions within NEOGOV, internal and external, this supports compliance with applicable hiring laws and regulations and provides transparency. Furthermore, due to a manual circulation of paperwork, we noted appropriate signatures were

missing. Two of the eight (25%) Announcement Certifications did not have Business Manager approval.

There is no established time standard to track the length of time to fill an administrative position at the CSA. We noted the average amount of days to fill a position was 46 days; however, the average was difficult to calculate because CSA postings are re-opened for advertisement more than once.

CSA hiring process procedures are outdated. When we requested a copy of procedures from the liaison we were provided with a document without an effective date. The liaison and HR Manager stated that the procedures have not been updated. In addition, to being outdated, the procedures do not define certain processes and for those that are defined it doesn't appear the procedures are being followed. These procedures provide a new hire checklist and a list of documents required for the personnel file; however, as a result of testing we noted, eight of 14 (57%) of the personnel files reviewed did not have documents required per the procedures.

In addition to the exceptions noted previously, as a result of our testing, we noted the following issues for the individual positions tested:

- *Employment advertisement timeframe*: A flowchart provided by the CSA HR Liaison states external positions are posted for 10 business day days and internal jobs are posted for five business days; however, timeframe requirements and exceptions are not documented. Seven of 13 (54%) announcement certifications reviewed were not posted for the required timeframe.
- *Signed offer letter*: Eight of 14 (57%) were not collected or signed.
- *Background Check Authorization form*: Eight of 14 (57%) were stored in Screening One and not directly in the personnel file, as required by the procedures.
- A final eligibility list is not stored with the job posting in NEOGOV.
- The employment application states the CSA awards Veteran's Preference, and the DD 214 form needs to be provided; however, the CSA does not score interview questions. In order to utilize Veteran's preference scoring must be used.
- Background checks are completed inconsistently:
 - Neola Policy 1121.01 states all candidates for administrative positions shall be subject to a criminal background check. Six of the 14 (43%) personnel files reviewed did not have the required criminal background check performed.
 - Highest level of education verification lacks clarification if it the verification must be done through Screening One or if transcripts (official/unofficial) are acceptable.
 - No procedure in place to determine if preferred qualifications should be verified prior to employment.

Criteria:

- City of Cape Coral Code of Ordinances, Chapter 26: Cape Coral Charter School Authority
 - 26-15 (a)(1) Establish positions, duties and a pay plan, and employ, pay and provide benefits for personnel as well as establish personnel policies.
- Neola, Codes:

- 1120 Preference for Veterans in Employment
- 1121 Conditions for Employment and Re-employment of administrators
- 1121.01 Criminal Background and employment history checks
- 4000 Support Staff
- 4120 Employment of Support Staff
- 4121 Conditions for employment and re-employment of support staff
- 4160 Physical Examination
- 4161 Fitness for Duty
- 4162 Drug and Alcohol Testing with Safety Sensitive Functions
- 4590 Personnel Files
- 4600 Job Descriptions
- Charter School Hiring Process Procedures
- CSA administrative position Job Descriptions

Cause:

- Outdated, unclear, confusing procedures
- Non-compliance with existing procedures
- Unclear requirements
- Not utilizing electronic software (NEOGOV)

Effect:

- Insufficient approvals for job postings
- Missing required documents
- Positions filled without proper approvals
- Loss of potential candidates
- Delayed posting of job advertisements

RECOMMENDATIONS:

2021-04a: To make the process more efficient and transparent, utilize the electronic software or other electronic means, to create a workflow for announcement certifications to be reviewed, approved, and monitored.

2021-04b: Update the Charter School Hiring Process Procedures to document processes and required documentation for personnel files.

Management Response and Corrective Action Plan:

2021-04a Select one of these boxes: ☐ **Agree** ☒ **Partially agree*** ☐ **Disagree***

***For partially agree or disagree provide reasoning on why:** The Announcement Certification (ACR) process the Charter Schools currently employs is manually driven with paperwork that must be created and controlled through several layers of acknowledgement and authorization. This physical process can be cumbersome and vulnerable to mishandling however this system is still functional and serves our purposes. Due to the fact that we find the existing conditions are still entirely satisfactory, the Charter Schools partially agree to the finding. We agree to explore an electronic Announcement Certification filing

process as part of a system-wide office automation upgrade, which will support the elimination of extraneous paperwork and records maintenance.

2021-04a ***Enter your action plan and response here:*** The superintendent will contact the City IT and Human Resources departments to ensure the development, costs, implementation, and associated trainings are within the charter schools' budget and master calendar parameters. If proposals are not applicable or within associated costs, the Charter Schools reserve the option of researching and implementing alternative electronic filings better suited to the needs and workflow of the Announcement Certification process or to maintain the manual process with better oversight/controls in place.

2021-04a **Management Action Plan Coordinator:** Superintendent.

2021-04a **Anticipated Completion Date:** September 1, 2022

2021-04b Select one of these boxes: ☒ **Agree** ☐ **Partially agree*** ☐ **Disagree***

*For partially agree or disagree provide reasoning on why:

2021-04b The Human Resources Manager and HR Liaison will develop an updated written process manual for hiring procedures to include new hires, promotions, transfers and reclassifications and will include a defined list of required documentation

2021-04b **Management Action Plan Coordinator:** Human Resources Manager and HR Liaison.

2021-04b **Anticipated Completion Date:** June 30, 2022

SCOPE AND METHODOLOGY

Based on the work performed during the planning and the assessment of risk, the audit covered the HR Hiring Process for the City and Charter School for the period of October 1, 2019 to June 30, 2021. Testing was performed using applicable City of Cape Coral Ordinances, Administrative Regulations, Neola, Recruitment Process and Procedures from the City, Charter School Hiring Process Procedures, and job descriptions that were in place during the scope.

Original records as well as copies were used as evidence and verified through physical examination. Sample size and selection were based on the CAO Sample Methodology. Random sampling was utilized to select individuals to determine if controls and policies and procedures were in place to complete the hiring process. To gain a better understanding and to determine if staff who participate in the hiring process for the City have concerns, the CAO conducted a survey to all hiring managers and related personnel. See Appendix A for actual survey results. To test if controls were in place for newly created positions for the City the scope was expanded to include new positions listed on the Council Meeting Agenda for December 15, 2021. The tests above support the objective to determine if controls over the personnel hiring process are in place and operating in accordance with regulations and policies and procedures.

Unless specifically stated otherwise, based on our selection methods, and testing of transactions and records, we believe that it is reasonable to project our results to the population and ultimately draw our conclusions for testing, findings, and recommendations on those results. Additionally, for proper context we have presented information concerning the value and/or size of the items selected for testing compared to the overall population and the value and/or size of the exceptions found in comparison to the items selected for testing.

APPENDIX A

The City Auditor's Office conducted a survey as part of audit testing. We requested a listing of hiring managers and departmental personnel from HR who assist with completion of the hiring process. We distributed a brief survey to the hiring managers and departmental personnel, identified by HR. Below are the results and comments associated with the questions as they were provided on the survey.¹ We sent 152 surveys and received 94 responses (61.8 % completion rate).

1. Hiring process is efficient (e.g., quick, convenient, clear, consistent).

Response	Number of Responses	Percentage of responses
Agree	17	18%
Agree Somewhat	28	30%
Disagree	12	13%
Disagree Somewhat	30	32%
Neutral	7	7%
Grand Total	94	100%

Yes, we have our own assigned contact for hiring matters. When that person is out, either their back up or the Talent Acquisition Manager handles any questions.

Sometimes it's confusing as to who is responsible for what portion of the process, HR or the department.

Convenient, consistent and clear but not quick

Takes way too long. You get different answers from different people.

Hiring process it's a joke. They hire whoever they want. Nepotism at its best!

Over the last few years, the process has become unpredictable and frustrating. The way things are done are not consistent and changes are made without communication to the hiring managers.

The process takes too long, especially background checks. the interview questions do not give a good indication of being able to perform the functions of the position.

Delays in posting jobs often occur due to waiting for HR approval/revision of documents

¹ All names provided by survey respondents have been redacted.

I don't believe it is "quick" if you have to start from the beginning with creating questions and answers.

"Inconsistent in requiring new interview guides from hiring department when recruiting for the same position within a year.

the process seems to keep changing- would be helpful if there was documentation or direction available to hiring managers/ and supervisors-

Every time we do the hiring process it changes, we turn in what we used the last time we hired and we continually have to redo it. there is nothing clear, convenient or consistent about it.

NEOGOV is efficient. [REDACTED] always gives concise and consistent information to make the hiring process smooth.

The hiring process is frequently changing. The interview guides and the format changes more often then i can count. I have seen at least 3 new formats in the last 2 years and it is time consuming to change processes and realign the reports each time.

"Part of the process is clear i.e. how to request a position is completed by Admin; in reference to the interview guide and/or process - it can be a little confusing and cumbersome"

From the job applicant perspective, the hiring process was outlined from the acceptance of the offer.

It is not quick or consistent

Hiring process is slow to the point that our top rated candidates typically accept employment elsewhere due to the length of time that HR takes in processing interview notes/assessment and notification to selected candidate.

Certainly not quick, clear, or consistent. It takes a long time, it is confusing, and constantly changing. Printing all applications?!?!

Our hiring process has multiple layers. Some of the inefficiencies come from outside of the HR department. For instance, the verification of educational certifications from a third party vendor.

I have never see a process so slow. You have to constantly call the HR department and check in with where the candidate is in the process. Someone has taken up to 6 weeks to process

and by the time they were called to on board they declined to take the job due to it taking so long.

For full time yes. Contract could have improvements. The fact that we have a contract employee come in to fill out paperwork then fax the fingerprinting paperwork to PD then PD sends it back to me and I have to have the new hire come back to see me a second time usually on a different day just to get fingerprinting paperwork is redundant. They have to take the form with them that was sent to me from PD to PD. Why can't they just make an appointment and go to PD since they are the ones who have and created the form. It seems like a lot of back and forth for no reason.

The hiring process is anything but quick and convenient. Approximately 10 years ago Parks & Recreation Deputy Director, [REDACTED] lead a Kaizen event to reduce contract employee hiring. The results were dramatic with contract employees being hired in 3 - 5 days. It was the most amazing thing I ever witnessed. I believe we need to involve our legislators to work on how DCF provides background checks. This appears to be the biggest hold up to the process. The paperwork is also daunting and most people are not used to it. The hiring packet and interview requirements change so much that it's hard to keep up. Our staff is already over worked and hiring becomes a big strain on the limited resources we have. Please take a look at the Kaizen Event led by [REDACTED] (His is the Parks & Recreation Director for Boca Raton). If you don't have a copy, he likely has something on it.

Process is too long (interviews, offer letter, drug test appointment, fingerprint appointment, onboarding) need to find a way to expedite the process.

Maybe have the employee be able to sign offer letter, drug test, and fingerprint all in same day.

Often the process is long and causes confusion to the candidate and the candidate ends up accepting a job elsewhere before hiring is complete. It is unclear if HR or the Hiring Manager should reach out to each interviewed candidate via phone or email to state if they were selected or not as a courtesy.

takes very long time and communication is lacking

Very slow, to many steps

Sometimes there are huge gaps of time where no information is communicated. Likewise, sometimes people call or communicate that they applied and they sound totally qualified but then it takes days for their info to get referred if it even shows up without asking. I feel like if there's a super small number of applicants, just refer more and don't be so picky. Give people a chance to interview or have more eyes with a different perspective on their application.

Due to the police department having a more thorough background process, the process is different from applicant to applicant.

I was hired over 20 years ago, I don't remember much about the process and my perception of the process then would not likely be applicable to the way things are being done now.

The process is not quick, and sometimes not consistent. I have confirmed the process numerous times and it still seems to change.

Sometimes it takes a seemingly long time to get jobs posted after being approved. That could very well be because HR is short-staffed. I don't know.

Coming from the private sector generally the hiring process is more detailed and involved. As a manager having to prepare exams for various positions can be time consuming but I understand the process and employees are typically our greatest assets. It is just a lot more involved than I encountered in the private sector.

In no way is the hiring process quick, efficient, or anything along those lines. Coming from the private sector where I would interview, run reports and drug screen and then have the new hire start in as little as 5 working days. Here it takes months to get someone in for their first day.

Hiring process needs to be reviewed to be streamlined. When a new hire is being processed - getting fingerprints, background checks and whatever else is needed is good. When an internal employee is promoted to go through the same process as a new hire seems to be a waist.

The hiring process is definitely not consistent. It seems that the procedures change every time there is a new position to be filled. They need a set of SOPs for their procedures that everyone can access to make sure we are following their current practices. I have had to revise interview guides completed only 6 - 7 months previously due to ever changing policies.

The hiring process is not consistent. I find that depending on the position things are done in a different manner and changes are done and that results in inconsistency.

The rules on hiring appear to keep changing each time we do a hiring requisition or a status change.

2. Information received from HR/Talent Acquisition was helpful to you throughout the hiring process.

Response	Number of Responses	Percentage of responses
Agree	43	46%
Agree Somewhat	25	27%
Disagree	5	5%
Disagree Somewhat	9	10%
Neutral	12	13%
Grand Total	94	100%

As they are the experts in hiring, we rely on this Team to help us navigate throughout the process.

We are often tasked with creating our own interview guides which is daunting. If HR prepared a draft for us, we could then embellish and together create a good product.

Answered all my questions

Constant push back without clear direction and expectations. Never consistent.

Recommendations and policy directions vary at times. There doesn't appear to be a cohesive message.

Nothing provided from HR was helpful.

When we work on the various documents or processes necessary for the hiring process, there is constant resistance from our talent acquisition specialist.

We make the changes, as the subject matter experts, and then find out from HR we need to make changes to fit their needs not ours. Had we been given the information in advance, we can save time, money and frustration.

Emailed updates of candidate status or estimated date of completion of background checks would be useful

██████████ was helpful and tried to make the selection of SAR questions easy.

Suggest electronic tracking display of recruitment/onboarding process.

I have received a PowerPoint training; however, not all instructions are included. Being new to my position, I needed more than was included in the training. It would have been easier and more efficient if the training was better.

The process is very disconnected. We always have to call and see where in the process we are. They are terrible about telling us when they have contacted the person who received the job.

I liked the assistance that the HR Talent Acquisition gave me with making up department questions. I also liked that she was available for questions and if unavailable, she returned my calls in a timely manner.

██████████ is in constant communication with us when our positions are posted.

I have had struggles in the past with HR communication and timeliness of the turn around of postings. With the forever changing interview guide, it is taking longer each time to get a position posted and get the process moving.

From the job applicant perspective, information was provided throughout the process and there was no questions as to the information required for completion.

HR typically attempts to "word smith" interview questions or make the questions so generic that the question is not assessing the candidate for the needed skills and attitude.

One thing today and something different tomorrow. A lot of the "rule" seem to be made up and not based on policy.

Takes to long and we loose candidates.

The HR/Talent team are professional hard working people. They are helpful and in a tough spot with the hiring concerns.

I was hired over 20 years ago, I don't remember much about the process and my perception of the process then would not likely be applicable to the way things are being done now.

Information received had been helpful

There are situations where the interview questions need to be changed and that is not always communicated or how the questions need to be worded/formatted.

Sometimes it is frustrating the objections HR makes to questions suggested for the interview guide. HR places emphasis on situational type of questions, but it is difficult to assess specific depth of knowledge on particular areas with this type of questions. When we try to add knowledge based questions, they either object them altogether or direct those to the performance of a test, which makes the interview process more complicated, specially when

administration of the test will entitle the use a license-based software. Nevertheless HR staff if pleasant to deal with.

Information should be the same throughout the Departments. Seems like some divisions/department get different information

Usually agree however recently have only had verbal notifications of candidates acceptance and final approvals rather than desired email notifications.

Information given sometimes contradicts and is confusing.

3. HR/Talent Acquisition understood the job requirements and your needs.

Response	Number of Responses	Percentage of responses
Agree	36	38%
Agree Somewhat	30	32%
Disagree	6	6%
Disagree Somewhat	10	11%
Neutral	12	13%
Grand Total	94	100%

I am of the opinion that no one can understand the job requirements for each department. That being said, they are always open minded to hear the justifications and have allowed me to be directly involved in the important decisions even when we are at odds.

██████ does, but I'm not sure ██████ gets it. ██████ understands very well.

For the most part, however some positions have complicated pre-requisite experience possibilities. The SME review process does resolve this problem though.

The hiring process has nothing to do with the job. They use sars questions which don't apply to anything that you are looking for.

From the job applicant perspective, the Job Description was provided via LinkedIn as well as by the HR/Talent Acquisition Team.

Several times this last year, HR would change submittal of interview questions to be more generic to city employment versus position specific. HR needs to understand that the department hiring manager, and the interview panel selected, are the subject matter experts in the hiring process.

We work collaboratively to develop appropriate supplemental questions, in turn, we ensure that qualified candidates are referred for further evaluation.

No they don't understand the jobs we need and the requirements. They put requirements that don't make sense for the actual position or what the person will be doing.

I believe the division making the hire should have more say in what questions are asked. Having HR tell us what questions/answers should be asked for a position that we (division) are hiring for seems counterproductive.

Job requirements listed on the hiring site are not accurate, each facility and department have extremely different expectations for jobs and each job description posted is very generic and tries to include a minimum of what is needed across the city instead of specific requirements for the location which is posting.

I was hired over 20 years ago, I don't remember much about the process and my perception of the process then would not likely be applicable to the way things are being done now.

It has gotten better over time, with understanding the position we are hiring for and the candidate needed for the position

There seems to be much discussion on job requirements, often seeing several emails discussing changes to job requirements for listing open positions.

Most of the time they do and if not then they will submit it for us to review.

It is impossible for the HR/Talent Acquisition team to know all requirements for so many job descriptions. I suggest to establish the practice to share with the hiring manager the candidates disqualified. I had the experience of a good candidate being disqualified on paper-based perception that didn't meet "years of experience" by a couple of months.

Postings are based on Job Descriptions which have been created for general use versus what the position is for a particular department - laborers are not the same in each dept.

Sometimes positions in different divisions within a Department will have different job duties. There seems to be no flexibility in preparing interview guides to accommodate these differences.

The HR/Talent Acquisition person does not understand our particular department's needs as pertaining to our policies/procedures and state regulations. Thus, making it difficult for a

smooth transition and the selection process for the qualified candidates. This process needs adequate time and the questions should be tailored for specific positions and should have the input of the Hiring Manager and the selected panel.

The job descriptions doesn't always represent what each position does and the questions that HR provides for the interview guides are not always representative of the work assignments.

4. Based on the information you submitted, job posting was accurate.

Response	Number of Responses	Percentage of responses
Agree	65	69%
Agree Somewhat	24	26%
Disagree	2	2%
Neutral	3	3%
Grand Total	94	100%

I didn't ask for a recent job posting to go national but Talent did so anyway. This may have come from the CM, however.

The position that we mostly hire for are customer service representatives, however, this position is way more than a CSR position, much more technical.

From the job applicant perspective, the Job Posting was accurate.

Sometimes conceded to HR after multiple reiterations of the job description, interview questions, and interview panel just to be able to move the process forward.
Had to follow up a few times as some wording was incorrect

The generic city wide job postings do not get to be adjusted for each department and location.

There have been some errors lately where as things get posted (that have been copied or duplicated) locations are wrong or there's a discrepancy between details. They do get corrected but it seems avoidable especially making it all the way to indeed or locations besides the city's main posting.

I was hired over 20 years ago, I don't remember much about the process and my perception of the process then would not likely be applicable to the way things are being done now.

Accurate only because they are based on a general job description

Job postings are generic.

The postings are correct.

5. Quality of candidates received was useful and resulted in a new employee.

Response	Number of Responses	Percentage of responses
Agree	43	46%
Agree Somewhat	26	28%
Disagree	3	3%
Disagree Somewhat	7	7%
Neutral	15	16%
Grand Total	94	100%

We have interviewed and hired excellent employees. A few have even been promoted after learning wonderful things in the positions we hired them into.

Sometimes, HR denies applicants we would be interested in and sometimes, we get applicants that don't meet the position requirements.

Managers should have more discretion on what applications are approved for interviewing as they know the job and requirements the best.

I haven't interviewed yet. Several candidates look very promising.

Occasionally candidates not really meeting the minimum qualifications get referred.

Would be useful to branch out to alternate job markets besides Capecoral.gov and governmentjobs.com.

Still need to review ALL the candidates to be sure some weren't overlooked and sometimes there are ones pushed forward that shouldn't be.

rules for posting external seem to change- sometimes required to post internally- interview some of the same folks over and over again- they don't score well- then post externally and interview those same folks again- requiring the interview guide to be changed- and a lot of time is exhausted

HR doesn't control what candidates apply. They put through those that are qualified.

Some recruitment, due to the nature of the work, are difficult to recruit/hire

N/A - Unclear what is being asked. Are the questions presented in the survey from the perspective of the applicant or management? I am responding to my experiences as the applicant versus the employer/management. I would not be aware as to the "Quality of candidates received was useful and resulted in a new employee."

The candidate review process needs to include the hiring manager. Several times candidates were moved forward from the application process to the hiring department even though the candidate(s) actually did not meet the requirements. And to the opposite side, sometimes there were good potential candidates that HR did not originally forward to the hiring department. HR relying on the response to application questions matrix typically does not always yield the top or best suited candidates.

We ask for a SME review for all post because we don't trust the system or process.

Position is very difficult for HR to pre-qualify. HR forwards questionable candidates for SME review. Position offered to candidate and hiring process is still underway.

cannot hire contractors for current rate of pay

I feel like for the main job for which I was looking for people, part-time, contract, experienced workers and front desk staff, who are ok with 11 dollars an hour, is a hard one. It's difficult to know what platform is best for recruiting. One or two candidates who were just barely good enough is better than nothing?

We have had several candidates referred that shouldn't have been.

You really never know the type of candidate you are interviewing until the actual interview. Filtering through the candidates based on qualifications can only narrow the field a certain amount. I was able to finally find the right candidate for the position but it required a ton of Teams Meetings with candidates that just didn't fit into our organization. The only way to know this is to go through the process in my opinion.

Sometimes there is only one candidate, HR resists posting externally

The same questions need to go. I don't know how you expect to get quality employees when they are answering questions like "Tell me a time when you dealt with a difficult employee. How do you judge someone based on that answer when everyone has different levels of difficult."

Unfortunately the pool of candidates wasn't good and the job was posting for only 2 weeks with little exposure to the outside. Only internal candidates applied and a good external candidate was disqualified.

Applicants are received by HR and qualified by HR before the final applicants are submitted for review by the department. There are times that one would like to see who was deemed not qualified based on a general job description.

Selection of candidates should be put on the hiring department for accountability of truly qualified candidates, per the state requirements, etc.

The hiring Departments don't always have the opportunity to see all the applicants who applied and some may get screened out of the interview process.

6. Quantity of candidates referred resulted in a diverse applicant pool.

Response	Number of Responses	Percentage of responses
Agree	43	46%
Agree Somewhat	24	26%
Disagree	3	3%
Disagree Somewhat	7	7%
Neutral	17	18%
Grand Total	94	100%

See #5 comment.

Haven't interviewed yet.

Occasionally the position being posted is such that not many applicants apply.

Reaching job seekers who are approaching engineering school graduation would be useful to attract a more diverse pool of qualified candidates.

In the hiring process now, recalling from a previous hire in 2019 there was.

same comments in #5 apply here

Our guidelines are very specific; therefore, it generally results in a similar pool.

N/A - Unclear what is being asked. Are the questions presented in the survey from the perspective of the applicant or management? I am responding to my experiences as the applicant versus the employer/management. I would not be aware as to the "Quality of candidates referred resulted in a diverse applicant pool."

I believe to referred candidates are only reviewed for minimum qualifications.

Position is very difficult for HR to pre-qualify. HR forwards questionable candidates for SME review. I don't feel this is the fault of HR.

HR always sends all applicants who apply.

low contract pay gets no recruits

See above. I also feel like many customer service style jobs in the city, especially in parks and recreation, might benefit from adding "bilingual preferred." There are so many families and customers that need services, childcare, senior center assistance and there's a lack of workers who can translate. If the job ads aren't going out in Spanish language papers, or with that extra description added it seems like the lack of diversity will keep happening.

Often times, candidate pool is only one person. HR resists post externally

this depends on the applicants that apply.

See question #5

Hard to tell if the applicants are further dismissed by HR verses the Department.

All applications for positions that require an extensive technical and skilled background should be forwarded through to the hiring manager for review.

7. Assessment and screening of candidates was completed accurately by HR/Talent Acquisition.

Response	Number of Responses	Percentage of responses
Agree	37	39%
Agree Somewhat	28	30%
Disagree	2	2%
Disagree Somewhat	11	12%
Neutral	16	17%
Grand Total	94	100%

I think this is always the case.

See # 5 comment.

Not completed yet, but I will be doing the screening with HR.

See response to #5.

SME process is a crucial addition to the process

Sometimes candidates are pushed through and they aren't qualified. Sometimes others are left behind and need to be added. I think this isn't always the fault of HR as they may not recognize something that is put into the application that the Hiring Manager may see as helpful to the position.

Occasionally fails to note duplicate applications.

N/A - Unclear what is being asked. Are the questions presented in the survey from the perspective of the applicant or management? I am responding to my experiences as the applicant versus the employer/management. I would not be aware as to the "Assessment and screening of candidates was completed accurately by HR/Talent Acquisition."

The candidate review process needs to include the hiring manager. Several times candidates were moved forward from the application process to the hiring department even though the candidate(s) actually did not meet the requirements. And to the opposite side, sometimes there were good potential candidates that HR did not originally forward to the hiring department. HR relying on the response to application questions matrix typically does not always yield the top or best suited candidates.

We always do our own review.

The majority of our assessment and screening is done in-house. We do not use HR to assess our candidates. The screening process is typically accurate. However, there have been times where "failed" candidates have been moved to the "referred" list after the SME review.

Process is still underway

The HR team need additional resources to assist with screening.

See #5 above.

We have actually asked to see all applications and requested to interview some that HR did not pass through.

It is not possible to know if this process was accurate as I do not have access to the entire pool of candidates. For certain very technical positions, it would be useful to be able to see the entire pool of candidates.

If they are unsure then they send the candidate for review to dept.

It seems that only "official" hours of employment qualify candidates for interview opportunities. More referrals to SMEs should be practiced.

see answer to questions 6.

Selection of candidates should be put on the hiring department for accountability of truly qualified candidates, per the state requirements, etc.

8. HR/Talent Acquisition processed applications and referred candidates timely.

Response	Number of Responses	Percentage of responses
Agree	55	59%
Agree Somewhat	17	18%
Disagree	5	5%
Disagree Somewhat	5	5%
Neutral	12	13%
Grand Total	94	100%

Always!

We are constantly being told to get things done when the process is in our hands, however, it is not the same for them.

On an infrequent basis, candidates continue to be referred after HR sends e-mail advising that the job posting closed.

Yes and thank you as it is important to move candidates forward to fill the positions.

The hiring process seems to take quite a bit of time. Any effort to shorten the timeframe, or other process improvement such as increased communication about candidate status, would be welcome.

I didn't have any issue in 2019

The process takes to long, sometimes several weeks to months.

N/A - Unclear what is being asked. Are the questions presented in the survey from the perspective of the applicant or management? I am responding to my experiences as the applicant versus the employer/management. I would not be aware as to the "HR/Talent Acquisition processed applications and referred candidates timely."

HR needs to be in better communication with the hiring managers.

Seems to be improving.

Nope this takes along time. We understand this is a huge city but if we are so big maybe they need more help themselves.

The background screening is causing considerable delays, I don't blame the H.R. team for these delays.

Sometimes we have to call to check in and speed it up

Addressed a few questions previous. See above.

For the most part. When they aren't I am sure it's because our recruiter has a lot of jobs on her plate to fill.

The postings sometimes have to wait based on if another department is hiring for the same position. HR refers the candidates up to two days after the close of the posting. Then expects the department to complete everything quickly. Sometimes due to scheduling the interviews cannot be done in a couple days. It seems expectations of the department are fast, but HR can take their time.

There have been times when a posting has already closed; then you are informed there additional people that must be interviewed after the fact.

There was only one incident wherein a candidate was not referred in a timely manner.

9. Interview guides provide the capability to understand a candidate's strengths and weaknesses.

Response	Number of Responses	Percentage of responses
Agree	25	27%
Agree Somewhat	31	33%
Disagree	11	12%
Disagree Somewhat	12	13%
Neutral	15	16%
Grand Total	94	100%

The interview guides are helpful, and they are consistent. People can give you an answer, but it doesn't mean that they actually are able to do the job. When asking about how an applicant would handle controversy in the workplace, I had someone tell me they had never experienced it.

Only after collaboration with department.

Constant push back on the interview guides. Managers know the needs and questions to ask candidates better than anyone, however, are constantly being told to change it. Nitpicking and changes that are HR preferred but does not pertain to what manager is looking for.

the questions are so "canned" that it is hard to tell.

Joke

The hiring managers are the subject matter experts. There seem to be resistance recently from talent acquisition with the questions. We know the knowledge, skills and abilities of the staff we are seeking.

Questions are acceptable

I understand the SAR questions provide a way to 'rate' each candidate, so to have a numerical figure to pick the "winner". Just not a fan of the questions or using so many questions.

The sars questions are basically all the same just worded differently and don't apply to the jobs.

Would like to see more technical questions asked instead of multiple SAR questions.

They are just questions and answers. Do not give a full picture of the individuals actual strengths and weaknesses. If a person is good at interviewing they will come out strong, but it is real situations or tests that show a persons capabilities.

Not all of the time - the interview guide has change from specific questions to general questions - some times it does not really bring up the information needed or may be confusing for applicants.

N/A - Unclear what is being asked. Are the questions presented in the survey from the perspective of the applicant or management? I am responding to my experiences as the applicant versus the employer/management. I would not be aware as to the "Interview guides provide the capability to understand a candidate's strengths and weaknesses."

If the guides of the hiring department SME's is utilized it is a beneficial process. If genericized by HR then the out come degradates considerably.

I don't like our system. Seems to be very static and it is difficult to get to know the candidates.

The way the interview guides are required to be make it difficult to score candidates unless they say specific words. Also, having to include so many SAR questions takes away from the technical questions.

The interview guides most make no sense. They don't fit the positions. Some questions are so confusing that people never answer them correctly. I wouldn't answer them correctly and I am the one administering the questions.

Allowed changes when needed

It's definitely better than a few years ago but some interviews can be quite lengthy if the hiring manager puts 20 questions that all require long explanations, rather than just having two rounds of interviews.

Have not heard of an interview guide

Several of our panel members are not fans of the STAR interview technique as it does not accurately portray an applicants drive or past experiences as effectively as other techniques.

Scoring is based on what the candidate provided and how much. This gives a false narrative, on how qualified the person is to do the job. They may just be well spoken, and well verses in interviewing.

The interview guides are a good start but I really don't feel like you can put a ton of emphasis on the interview guide a you really need to talk with the applicant concerning their past experience and qualifications.

On some positions we are forced to ask questions that don't necessarily apply to the position and completely more often then not, take a potential candidate out of the running. Questions should be more based on the actual duties to be performed.

This depends on the interview questions required. Some questions don't pertain to the expertise of the position.

See comments in question #2

Sometime the interview guides includes too many SARs questions - wording is not clear and provides more questions. Guides are finalized by HR does not come back until ready for interviews.

As far as how they have handled situations in the past I agree it details the candidates ability to assess and resolve issues. However a lot of times, work experience questions are disallowed in the interview guide. Especially in entry level positions, a great candidate with drive, ambition and personal integrity may not do well on the interview guide because they have very little to no work experience to draw from.

Often times the interview guides rely too heavily on SAR questions and not enough on technical skills type questions

Not always and that is why the questions should be tailored to the position needs, etc.

10. Scoring on interviewing guides helps select the most qualified candidate.

Response	Number of Responses	Percentage of responses
Agree	27	29%
Agree Somewhat	29	31%
Disagree	9	10%
Disagree Somewhat	17	18%
Neutral	12	13%
Grand Total	94	100%

This is a tricky question. I think City employees have an advantage over those that are not on the City payroll because they know how the interview will be conducted. They know that it is very useful to bring the job posting to help include the buzz words, they also know that when you ask for a scenario, not to share a broad response about several scenarios you have encountered.

There is no other option, so I guess yes.

I have had a lot of experience interviewing people in the city. The scoring system does not correlate to a person's skill set.

Not at all! Still candidates with lower scores are selected

Back in August for example, after reviewing the scoring guide, I was informed the scoring for Veteran's Preference categories had changed/increased. So the scoring we were proposing would not balance out with any candidate who was a Veteran giving them a clear advantage. We were not informed of the point increase by talent acquisition. Had we known, we would have consulted with HR prior to working on the document. This wasted valuable time in the hiring process and was not productive.

It helps, yes, but there should be a way to weigh other information that is stated during the interview. But I understand that isn't defensible if there is a challenge.

Disagree with panel scoring not allowing variance. Panel should not have to agree so closely.

Again you have to score on the questions asked and if they don't apply to the job how do you know they are the best candidate.

The scoring guides are based on the interviewee stating specific words that are in the guide. It leave no room for personality, or expansion on the question that the individual may provide.

N/A - Unclear what is being asked. Are the questions presented in the survey from the perspective of the applicant or management? I am responding to my experiences as the applicant versus the employer/management. I would not be aware as to the "Scoring on interviewing guides helps select the most qualified candidate."

It helps identify the qualified person in regards to skill level, but the guide has to be so objective that it does not allow for digging into the interpersonal side of a person

Scoring should be just one component. There are times that completed project reviews or writing samples are needed as well to select the best suited candidate.

Despite the questions.

We often turn away candidates who we think might be good fits simply because they do not know how to answer interview questions.

The way the interview guides are required to be make it difficult to score candidates unless they say specific words

The current scoring process can is a bit flawed IMO. Points shouldn't be the main factor in making a hire. Some times non scoring attributes (personality, intuition, good fit, etc.) need to be considered. Extra points for Veterans also factors into sometimes an applicant scoring hire than a applicant that we thought would be a better fit.

need skills tests for skilled positions

Sometimes people have great answers, but not long enough to get enough points

I think it's all manipulated too easily by the interviewers in the room and it doesn't really matter what the system is supposed to be. A system with tablets or laptops where it's harder for them all to collaborate and change paperwork would be more fair to applicants.

Would like to see a better system of interview questions and answers. The questions do not accurately reflect on the best candidate for the position. Too much based on scores and not enough based on the actual candidate and fit for the position. Including automatic points for Veterans

At the police department we see more military members than other departments applying especially for our law enforcement positions. In the military, soldiers are conditioned to research and memorize key words or phrases for interview boards, and to keep short and precise.

With the STAR method, we see that veterans have the tendency to not talk as much or give as much detail as other applicants thus leaving points on the table.

Scoring isn't accurate and discussed amongst the interviewers which can sway the outcome of the scoring process.

Sometimes (fairly often,) very well qualified candidates do not get selected because they don't do well on the SAR questions. Others that have more experience with SAR questions, but much less life experience, end up getting the positions to the detriment of our department.

This helps but if a qualified applicant does not do well under pressure of the interview panel and scores poorly then they might not get the position. This is something I struggle with based on the current hiring process.

Some people don't interview well but were more qualified than the person with the highest score. Also, the veteran's preference points can put a person above someone who is more qualified. I don't know if that can be addressed.

Knowledge based is hard to assess.

Using interview guides as the sole source of determining hiring totally ignores a candidate's application or resume work history, community involvement, and references. This method usually allows those who are well spoken and possibly even fabricate answers to rise to the top of eligibility lists.

Veteran preference scores can bump a more qualified candidate who scored higher on interview and/or written test, down on the final matrix list.

11. What could the recruiting department have done to make the hiring process more efficient and effective for you (Please describe in 2 – 3 sentences).

I wish that they would call me/email me and alert me when my existing pool lists are about to expire and offer to extend another 6 months - or just extend all of them another 6 months. Also, it would be helpful to be able to go back to the existing applications that didn't get advanced the first time around to bring some names forward. Some applicants may not be selected the first time around, but at a second go around have uncover skills that may have been overlooked instead of starting all over again.

I suggest that the recruiting department take on the role of contacting the Candidates from the eligibility list to inquire if they are still interested in the position instead of the hiring manager. I believe that this would be most effective in explaining the hiring process from an eligibility list and answering any questions the candidate may have about the protocol.

Preparing draft interview guides would be helpful, checklist or workflow identifying the steps in the process and if one already exists, consistency in following it.

The time it takes to bring someone on board is way too long. So many times we go through the entire interview process only to find out we the salary is not sufficient for the candidate. Then we have to start all over again from the beginning. I would suggest we ask the candidate up front if the salary offered is ok with them as one of the first questions asked on the interview guide."

Nitpicking and control is ridiculous at times. Managers need more to have more input and control over what they want in a candidate and the hiring process, not what HR prefers.

Stop fighting with us. Follow-up to see if we need help. Take on some of the tasks to relieve other departments of the burden.

Questions unrelated to job.

Clear communication about what is needed to help move a candidate along. A few times now the candidate has made it through the interview process and it was then determined they do not meet the minimum qualifications. We also had an instance where the same candidate applied for multiple similar postings but it was determined they did not qualify on one and somehow they kept making it through for all the others.

Let the process to be fair and give everyone equal chances.

While the interview guides are helpful for learning a candidate's strengths and weaknesses and helping with selecting the most qualified candidates, there is frequently a lot of kickback and frankly, some nitpicking, from Talent Acquisition regarding the wording of questions and/or answer keys that the hiring division or department wants to use on their interview guide.

If there are changes that are going to have an impact on the hiring process, such as the changes in Veteran's points, please let us know in advance. All too often I have heard, "Oh, we don't use that form anymore." Please let us know at the beginning of the process instead of us making our changes only to have to go back and make the changes a second time.

The job title and description needs to be changed so that the potential employees have an accurate depiction of the job they are applying for.

Allow for posting, then iron out details over the next couple of days with interview guide (this change was made and has been helpful). Increase communication, posting updates/notes to neogov if possible.

There is too much back and forth regarding the interview guide. At a point, as an HR professional, just tell us how you would like the question written. It is frustrating to go back and fourth four times over one question when staff could just tell us how it should be written.

I had no issues with the hiring process.

Allow scoring variance of interview panel members.

A more in-depth instruction guide would be helpful. The current training does not address all areas such as printing all applications before handing in the hiring packet.

the ability to post the job before the person leaving is gone so they can get good training. Not sit on the job posting for weeks. The ability to use questions that apply to the duties needed instead of so much on how they handle situations. Shorten the process, it should not take weeks for a background check. Test inhouse and not from home. Allow the hiring department to create the test.

Make sure the candidate has "cash" experience. Example: Not just "accepts check payments for rent".

Recruiting has always been very efficient. We receive the information that we need always in a timely fashion. The only thing that would benefit departments would be to create a revised new hire checklist like we had before. I usually get a call and have to include documents after the packet is dropped off.

I have not yet completed the entire process however I have felt that the process to this point has been satisfactory.

Have the process available or documented for those getting ready to hire to have and be able to follow as they move through the process. It is a struggle to feel like you know what the process is, only to have new changes and processes that you didn't expect hold up your hiring.

More in depth discussion of the hiring guide without holding up the placement of the recruitment. Work with the Department/division as the recruitment is advertised.

Understanding our needs and constraints within our Budget. Words mean things, however words have different meanings depending on where you are standing.

Develop a process that finds balance between skill and the interpersonal side of a candidate and execute with consistency. Cape Coral has to follow hiring rules and laws set forth by governing agencies, however, the hiring process should be more about hiring the right person not complete litigious.

Be complimentary and collaborative to the hiring department and hiring manager. Provide recommendations and support throughout the hiring process versus a superior dictatorlike position.

Look at what the private sector is doing: interviews are conducted online, virtually; recruitment is paperless; apps are used.

Define the process in writing and stick to it. Go digital/electronic (other companies and organizations are way in front of where we are).

In terms of recruiting, reach a larger pool of candidates.

I feel like I am trying to hit a moving target when it comes to approval of the interview guides. The criteria changes frequently. In one instance, I submitted identical interview guide questions from a previous hiring process and was told that the questions needed to be revised.

Let the hiring manager review the entire number of resumes'. The automated screening process misses good candidates.

Reach out to candidates sooner to make an offer.

I don't really have any complaints and feel Recruiting does a pretty good job.

The hiring process is efficient. It is affective for me.

They could use a course in what specific jobs are and if they would listen or ask the facility what exactly the job entails instead of a general all encompassing job description would be a great idea. Also stop lumping all locations into one as if what one position at one place does the same things at another place even though it might have the same position title. Qualifications should not be lumped together either they should be per location. OR groups would be helpful also!

Streamline the hiring packet, reduce the amount of time it takes from interview to hiring. Involved legislators to improve how DCF provides background responses.

"Like previously said, expedite the hiring process. Less trips back to City Hall, PD, drug testing, etc. for new hires. Let the division making the hires have more say in interview questions."

The Interview Guide scoring process does not always produce results that align with the best candidate for the position. Overall, the process is efficient and I believe that it is more streamlined than a few years ago.

Everything was done in an efficient manner.

Job titles and job descriptions could be more accurately represented when posting. HR could communicate with the selected candidate more often, perhaps by utilizing some sort of progress tracking online that the candidate could log into to get updates on the hiring status instantly.

I believe that the process should start (when applicable) before the member is separated. If it is a retirement we know they are leaving why do we wait until they are gone before we hire someone. We should have the person start a week before the person leaves for training purposes.

went well

1. Prescreening questionnaire at application 2. More flexible questions 3. Improved background process

Departments are hiring all year long, but some departments have busy times for hiring employees. It would be nice if changes in procedures and documents were made outside of those busy hiring times.

Be quicker about the process. There are too many people each application has to go through to get signed. When someone is out it cannot get signed.

Communicate more often. Not be as picky about referrals if there's just a small number to chose from. Investigate new places to post ads that would appeal to younger and more tech savvy diverse crowd.

Screening of candidates to ensure the person has qualifications for the job before sending through for interview.

The recruiting department did what they could do following the current system.

I think the process is as smooth as it has been with the implementation of a single point person. i.e. [REDACTED] and I being the single point of communication between the Police Department and City Human Resources has eliminated wasted production time and allowed us to develop a straight line tracking system through the NEOGOV system.

I was hired over 20 years ago, I don't remember much about the process and my perception of the process then would not likely be applicable to the way things are being done now.

There are a lot of moving parts in the process, which can be very confusing at times for someone who is not in HR. It might be helpful if there was some kind of flow chart for non-HR managers to follow during the process and who to call at certain points.

Provide thorough instruction on the process. Allow hiring managers to ask follow up questions to further vet the candidate.

The last posting we had for the Public Service Aide, several people that were interviewed, said they thought the questions would have been more geared towards the job and not as many behavioral questions.

I don't feel any changes need to be made at this time.

Maybe communicate more, seems the tasks given in the process are more HR related versus an Administrative Assistant. I have no issue with the hiring duties except that I don't feel as knowledgeable as HR would be and because it is not something that is done every day, I am not as confident in the hiring process. Follow up letters would be an example, I feel that should definitely come from the HR Department. Thank you.

Hire an assistant to the recruiters.

They did the best they can as we worked as a team per division

At certain points, the process seemed more important than hiring the best candidate with best fit for the open position.

Try and add qualifying questions to the application on the front end to better filter out unqualified personnel. I also feel this is a function of the hiring manager too so the entire responsibility should not be placed on HR.

Process new hires faster. We lose too many to other jobs based on how long it takes to get them in the system

I think HR is the better choice to complete certain aspects of the process. Such as rejection letters notifying candidates that they were not chosen.

Require less or no SAR questions. The answers to these types of questions are at best random scenario opinions provided by the candidate that are also scored on the interviewers opinions rather than measurable skills or abilities. They are typically irrelevant and do not help in determining the best candidates for any positions.

Have an automated online formatting of interview guide. it seems that what takes the longest are the editing of word documents of the questions in WORD Doc, making sure there is so many question in such and such category, that the format of the answer key is the most updated version etc.

provide an outline of procedures, when and why questions need to be changed, etc.

Include Knowledge based questions in the interview guide. Share ""unqualified"" applicants with hiring manager.

Streamline the process more, allow to see candidates that pass the original sort if the final qualified people do not meet your needs

Referred candidates should be done in a timely manner.

Remain consistent in practices. Create SOPs that are accessible during the process. Maybe an implementation of quality control processes would assist in a more consistent process.

More communication and the understanding that some positions take a little longer to go through the hiring process than others.

Use less SARS questions and allow Departments to make final decisions on interview guide.

12. Please add any additional comments, if applicable.

I've attended various trainings with HR that has been helpful.

I think clarity of the process needs to improve.

The staff is HR is very good and honest. They need to get their priorities straight. I realize they work for the public but they are mostly an internal service department serving our needs.

Also, benefits are not explained thoroughly and all benefits example discounts with vendors, comp time etc.

In summary, I find the hiring process frustrating. At times, it seem we are being asked to make changes to make their jobs easier and ours more difficult. If we don't make their changes, the hiring process cannot be moved forward. We have to meet their needs, but they do not have to meet ours.

1. Having a question bank available to hiring managers related to the competencies would be beneficial. It would also be nice to have standard software questions with standard answers. Specifically, one tailored to MS, one tailored to GIS, one tailored to design and publishing software.

2. The formatting on the interview guide is a disaster (In particular the score box). Starting with a fresh document with correct formatting would make the process much easier.

3. More resources should be on the sharepoint page for hiring managers.

A general note, I have been involved in the hiring process here for many years and it should be noted that there has been a SIGNIFICANT improvement in the processes and support from HR staff in the last 5-6 years."

In speaking with Lee County counterparts, they have a hiring process that seems to be different. They don't ask the exact same questions of all applicants. I don't know how they 'rate' to pick the final person.

When sharing 'first day' requirements, advise hiring department of scheduled date/time of orientation training.

Thank you for this survey.

██████████ and ██████████ are very helpful and professional. They are eager to assist and the process runs more smooth with them.

Overall - the hiring process has been helpful and resulted in good hires.

Everyone is here for a common goal. Bring on the best team members for our need. We just look at thing differently.

I would say almost every applicant will accept a contract position just to be eligible for a full time position. I believe there should be a probationary period of at least 6 months before a contract employee is eligible for full time employment as an internal employee. Contract employee salary does not keep up with the private sector and this results in a drain on resources. Maybe some type of discounted health insurance, paid time off, education credits would help hire and retain qualified candidates. The H.R. Division has some of the most hard working employees in the City of Cape Coral. They are in a hopeless situation and will remain in this situation until benefits and salaries compete with the private sector. The H.R. division has been outstanding and professional.

██████████ is always very professional, kind, and efficient with every new vacancy. If she is not available, she calls back in a timely manner. She communicates effectively throughout the hiring process. She is a very friendly professional and I enjoy working with her.

The people in HR are great, just believe the process needs some adjustments.

make sure the communication of any changes is sent to all involved in the hiring process. There was a situation that NeoGov changed/upgraded and training was provided but I was not notified. I ended up having an individual session.

HR/Talent Acquisition staff are very professional and always willing to listen and help. There are some parameters they follow as part of the hiring process that need revision or allow certain flexibility, perhaps on a case by case basis.

I believe it would be beneficial for open communication with the HR Talent Acquisition person as well as who they report to work together versus creating a difficult situation. We should be working together.

APPENDIX B

Finding Classification

Findings are grouped into one of three classifications: High, Medium or Low. Those findings that are categorized as low are not included in the report but rather are communicated separately to management. Classifications prioritize the findings for management to address and also indicate the level of testing required to determine if a finding's Corrective Action Plan is fully implemented in accordance with recommendations and Management's Response.

High: A finding that is ranked as "High" will have a significant impact on the organization. It is one that *prevents* the achievement of a substantial part of significant goals or objectives, or noncompliance with federal, state or local laws, regulations, statutes or ordinances. Any exposure to loss or financial impact for a High finding is considered *material*. Examples include direct violation of City or Department policy, blatant deviation from established policy and procedure, such as actions taken to circumvent controls in place, material non-compliance with federal, state or local laws, regulations, statutes or ordinances, or an area where significant cost savings could be realized by the Department or the City through more efficient operations.

High findings require immediate management attention and should take management's priority when considering implementation for corrective action.

Medium: A "Medium" finding is one that *hinders* the accomplishment of a significant goal or objective or non-compliance with federal, state or local laws, regulations, statutes or ordinances, but can't be considered as preventing the accomplishment of the goal or objective or compliance with federal, state or local laws, regulations, statutes or ordinances. Exposure to loss or potential or actual financial impact is *significant but not material* to the Department or City. Examples include lack of monitoring of certain reports, insufficient policies and procedures, procedure in place or lack of procedure that can result in *potential* noncompliance with laws and or regulations.

Medium findings require management attention within a time frame that is agreed upon by the Department and the City Auditor. Priority for implementation of management's corrective action should be considered in light of other High or Low findings.

Low: A "Low" finding is one that warrants communication to management but is one that isn't considered as hindering the accomplishment of a significant goal or objective and isn't causing noncompliance with federal, state or local laws, regulations, statutes or ordinances. Financial impact or risk of loss is minimal to none; however, low findings can *hinder the effectiveness or quality of department operations and thus are communicated to management separately. Low ranked findings are not included in the final audit report.*

The City Auditor's Office will not follow up on the status of Low findings communicated to Management.