

Auditor-Controller

Equal Opportunity Plan

2022



Table of Contents


	Page
Section 1: Department Head's Acknowledgment & Commitment to the 2021 Departmental Equal Opportunity Plan	3
Section 2: Organizational Profile	4
Section 3: Department's Workforce Analysis Chart	5
Section 4: Personnel Activity	6
Section 5: Recruitment Data	9
Section 6: Action-Oriented Programs	10
Section 7: Accomplishments and Resource Needs	15
Section 8: EOCRAC Follow up	16
Section 9: Title VI of the Civil Rights Act	17

Section 1

Department Head's Acknowledgment & Commitment to the 2021 Departmental Equal Opportunity Plan

The Monterey County Board of Supervisors adopted an ordinance reaffirming their long-standing commitment to the principles of providing equal opportunities for all and preventing and eliminating unlawful discrimination. The Board of Supervisors values providing an open and empathetic communication channel for County officials and employees, applicants for employment, and business relationships with the County. Through the adoption of the Nondiscrimination, Prevention of Sexual Harassment, Reasonable Accommodation for Persons with Disabilities, and the Language Access and Effective Communication Policies, the Board of Supervisors reaffirms its expectation that each County official and employee is responsible for maintaining a workplace that is free from unlawful discrimination, harassment, and retaliation.

As Department Head, my signature below verifies the accuracy of this report and affirms my commitment to equal opportunity and civil rights, as outlined in County policies and ordinances.

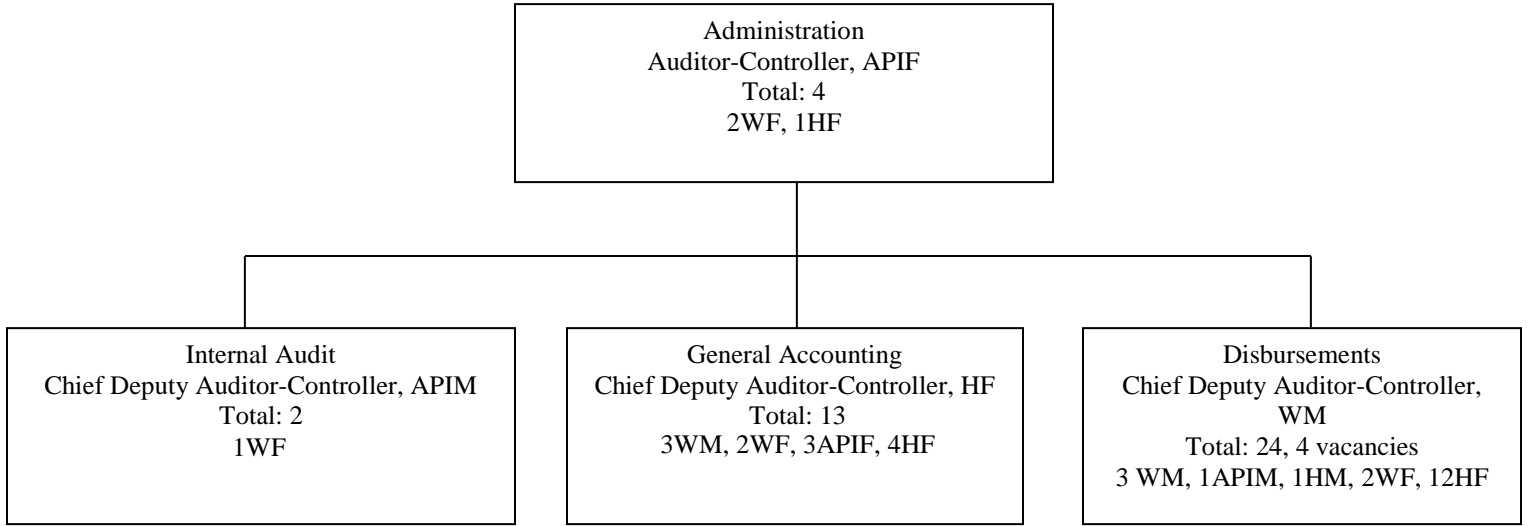
DocuSigned by:

5020CB565A18490...

Rupa Shah, CPA
Auditor-Controller

Section 2

Organizational Profile Auditor-Controller

Please show the reporting structure in your organizational chart. Break the chart into separate pages by division, if necessary.



Self-reported gender and ethnicity:

M – Male F – Female

AA - African American; H – Hispanic; API – Asian/Pacific Islander; W - White other than Hispanic; AI – American Indian/Alaskan Native

Section 3

Department's Workforce Analysis Chart (MC-HRM-EO-0003)

This is the cover sheet for this section. Place a copy of your Department's workforce analysis chart here.

Report ID : MC-HRM-EO-0003

Run Date : 03/28/2022

Run Time : 10:15 AM

County of Monterey Workforce Analysis Chart

Job Group Within Department

2020-2021 Job Group Metrics

Cover Page

Parameters and Prompts

Home Department: *;1110

Occupational Group: *

Title: *

Report Description

The Monterey County Workforce Analysis Chart for Job Classifications within Job Groups Report is a listing and count of ethnicity, gender, classification and job group within Department(s).

1110 - Auditor Controller

JOB GROUP 01: Management II - (30.4% Minority Availability) - (51.1% Female Availability)

Title	EEO Cat Code	Total Employees			Minorities			Male					Female					Totals					Hours	
		M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
ASSISTANT AUDITOR-CONTROLLER	E	0	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	1	0
TOTAL Management II		0	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	1	0
		100.0%			0.0%													100.0%	0.0%	0.0%	0.0%	0.0%		

JOB GROUP 02: Management I - (32.7% Minority Availability) - (48.2% Female Availability)

Title	EEO Cat Code	Total Employees			Minorities			Male					Female					Totals					Hours	
		M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
CHIEF DEPUTY AUDITOR-CONTROLLER	OA	2	1	3	1	1	2	1	0	0	1	0	0	0	1	0	0	1	0	1	1	0	3	0
TOTAL Management I		2	1	3	1	1	2	1	0	0	1	0	0	0	1	0	0	1	0	1	1	0	3	0
		33.3%			66.7%													33.3%	0.0%	33.3%	33.3%	0.0%		

JOB GROUP 03: Professionals - Administration - (49.2% Minority Availability) - (62% Female Availability)

Title	EEO Cat Code	Total Employees			Minorities			Male					Female					Totals					Hours	
		M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
ACCOUNTANT AUDITOR III	P	1	4	5	0	3	3	1	0	0	0	0	1	0	1	2	0	2	0	1	2	0	5	0
ADMINISTRATIVE SERVICES ASSISTANT	P	0	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	1	0
AUDITOR-CONTROLLER ANALYST I	P	1	5	6	0	4	4	1	0	0	0	0	1	0	3	1	0	2	0	3	1	0	6	0
AUDITOR-CONTROLLER ANALYST II	P	0	1	1	0	1	1	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	1	0
ERP BUSINESS ANALYST	P	4	1	5	0	1	1	4	0	0	0	0	0	0	0	1	0	4	0	0	1	0	5	0
TOTAL Professionals - Administration		6	12	18	0	9	9	6	0	0	0	0	3	0	5	4	0	9	0	5	4	0	18	0
		66.7%			50.0%													50.0%	0.0%	27.8%	22.2%	0.0%		

1110 - Auditor Controller

JOB GROUP 13: Paraprofessional - Technicians II - (60.6% Minority Availability) - (70.8% Female Availability)

Title	EEO Cat Code	Total Employees			Minorities			Male					Female					Totals					Hours	
		M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
INTERNAL AUDITOR II	PP	0	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	1	0
TOTAL Paraprofessional - Technicians II		0	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	1	0
		100.0%			0.0%													100.0%	0.0%	0.0%	0.0%	0.0%		

JOB GROUP 17: Office Clerical II - (79.1% Minority Availability) - (85.9% Female Availability)

Title	EEO Cat Code	Total Employees			Minorities			Male					Female					Totals					Hours	
		M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
ACCOUNTING TECHNICIAN	OC	1	3	4	1	3	4	0	0	1	0	0	0	0	3	0	0	0	0	4	0	0	4	0
PAYROLL TECHNICIAN-CONFIDENTIAL	OC	0	5	5	0	3	3	0	0	0	0	0	2	0	3	0	0	2	0	3	0	0	5	0
SENIOR ACCOUNT CLERK-CONFIDENTIAL	OC	0	1	1	0	1	1	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	1	0
SENIOR PAYROLL TECHNICIAN - CONFIDENTIAL	OC	0	2	2	0	2	2	0	0	0	0	0	0	0	2	0	0	0	0	2	0	0	2	0
TOTAL Office Clerical II		1	11	12	1	9	10	0	0	1	0	0	2	0	9	0	0	2	0	10	0	0	12	0
		91.7%			83.3%													16.7%	0.0%	83.3%	0.0%	0.0%		

JOB GROUP 18: Office Clerical I - (57.8% Minority Availability) - (79% Female Availability)

Title	EEO Cat Code	Total Employees			Minorities			Male					Female					Totals					Hours	
		M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
ACCOUNT CLERK	OC	0	2	2	0	2	2	0	0	0	0	0	0	0	2	0	0	0	0	2	0	0	2	0
TOTAL Office Clerical I		0	2	2	0	2	2	0	0	0	0	0	0	0	2	0	0	0	0	2	0	0	2	0
		100.0%			100.0%													0.0%	0.0%	100.0%	0.0%	0.0%		

Title	Total Employees			Minorities			Male					Female					Totals					Hours	
	M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
TOTAL - 1110	9	28	37	2	21	23	7	0	1	1	0	7	0	17	4	0	14	0	18	5	0	37	0
Auditor Controller	75.7%			62.2%													37.8%	0.0%	48.6%	13.5%	0.0%		

	Total Employees			Minorities			Male					Female					Totals					Hours	
	M	F	T	M	F	T	W	AA	HIS	API	AI	W	AA	HIS	API	AI	W	AA	HIS	API	AI	F/T	P/T
GRAND TOTAL	9	28	37	2	21	23	7	0	1	1	0	7	0	17	4	0	14	0	18	5	0	37	0
	75.7%			62.2%													37.8% 0.0% 48.6% 13.5% 0.0%						

Section 4

Personnel Activity

Job Group: 02 Management I	New Hires		Promotions – Into Job Group		Promotions – Within Job Group		Voluntary Terminations & Retirements	
	Males	Females	Males	Females	Males	Females	Male	Females
White								
African American								
Asian/Pacific Islander	1							
American Indian/ Alaskan Native								
Hispanic				1				
TOTAL (count each person only once)	1			1				
	Involuntary Terminations (Non-Probationary)		Releases During Probationary Period		Corrective Actions		Layoffs	
	Males	Females	Males	Females	Males	Females	Male	Females
White								
African American								
Asian/Pacific Islander				1				
American Indian/ Alaskan Native								
Hispanic								
TOTAL (count each person only once)				1				

Job Group: 03 Professionals - Administration	New Hires		Promotions – Into Job Group		Promotions – Within Job Group		Voluntary Terminations & Retirements	
	Males	Females	Males	Females	Males	Females	Male	Females
White		1						1
African American								
Asian/Pacific Islander								1
American Indian/ Alaskan Native								
Hispanic		1*		1		1		1*
TOTAL (count each person only once)		2		1		1		3
	Involuntary Terminations (Non-Probationary)		Releases During Probationary Period		Corrective Actions		Layoffs	
	Males	Females	Males	Females	Males	Females	Male	Females
White								
African American								
Asian/Pacific Islander			1					
American Indian/ Alaskan Native								
Hispanic								
TOTAL (count each person only once)			1					

***Employee was hired and resigned within the same year to move out of state.**

Job Group: 17 Office Clerical II	New Hires		Promotions – Into Job Group		Promotions – Within Job Group		Voluntary Terminations & Retirements	
	Males	Females	Males	Females	Males	Females	Male	Females
White								1
African American								
Asian/Pacific Islander								
American Indian/ Alaskan Native								
Hispanic		1				1		1*
TOTAL (count each person only once)		1				1		2
	Involuntary Terminations (Non-Probationary)		Releases During Probationary Period		Corrective Actions		Layoffs	
	Males	Females	Males	Females	Males	Females	Male	Females
White								
African American								
Asian/Pacific Islander								
American Indian/ Alaskan Native								
Hispanic								
TOTAL (count each person only once)								

***Employee transferred to another County department.**

Section 5

Recruitment - Data

(Please include information for each underutilized job group. Please include information about the Department's challenges in recruiting a diverse and qualified applicant pool.)

Job Group: 13 Accountant - Auditor II	Applicants		Applicants Who Met Minimum Qualifications (Initial Screening)		Applicants Placed on Eligible List		Applicants Interviewed		Applicant Hired for the Position	
	Males	Females	Males	Females	Males	Females	Males	Females	Males	Females
White	1	1		1		1		1		
African American										
Asian/Pacific Islander	2	1	1		1		1			
American Indian/Alaskan Native										
Hispanic	1	7		2		2		1		1
TOTAL (count each person once only)	4	9	1	3	1	3	1	2		1

Job Group:	Application Screeners (SMEs)	Interview/Oral Board Panelists	Targeted outreach locations that received the job announcement and discuss any challenges
White			<p style="text-align: center;">TAD Report - Email</p> <ul style="list-style-type: none"> -African American -Asian/Pacific Islander -Veterans -Hispanic/Latino -American Indian/Alaskan Native -Individuals with Disabilities
African American			
Asian/Pacific Islander			
American Indian/Alaskan Native			
Hispanic	2		
TOTAL (count each person once only)	2		

Section 6

(Under the County's Equal Opportunity Plan Chapter 5: Designation of Responsibility)

Action-Oriented Programs

Recruitment

What collaborative relationships has your Department established with community groups and stakeholders? How have these relationships supported the Department's recruitment efforts? How many selective certification waivers did your department request last year? How many were granted and why?

- Auditor-Controller HR Analyst consults with Civil Rights Office and Human Resources Department as needed
- Use of the Talent Acquisition Database to notify community organizations and Equal Opportunity Commission members of new recruitments
- Development of recruiting avenues to reach qualified minority and/or female applicants to include regional, statewide, and national advertising, social media, community organizations, governmental agencies, and attendance at job fairs and career day events when appropriate
- Contact Equal Opportunity Commission members to request help in finding subject matter experts to assist with recruitment efforts when needed.

One selective certification waiver was granted last year for a requested 30-day recruitment period. The waiver was granted. The candidate selected is a Hispanic female.

Hiring

What selection criteria does the department use in the interview for fit?

Questions addressing leadership, management, and communication style are included in the final selection interview to assist the selection panel in determining the fit of a candidate. The questions are reviewed and revised as needed by the hiring manager before every final selection interview.

A writing exercise has been implemented as part of the final selection process for management and supervisory positions. The hiring manager selects the writing exercise

topic which is used to review the candidate's writing style but can also help determine a good "fit".

Reference check questions are asked regarding the candidates work habits and performance to include the ability to cooperate with others and attitude towards others while on the job.

How does your Department ensure diversity on panels of screeners and interviewer panelists?

The department HR Analyst uses a combination of internal and external subject matter experts (SME's). When using external SME's, the Analyst will consult with HR from other agencies for SME recommendations to ensure panel diversity.

What training or information is given to screeners and interview panelists to help minimize bias in decision-making?

The HR Analyst briefs the screeners and interviewers before the process and debriefs at the end of the process. Panel members are instructed to notify the analyst if any of the applicants/candidates are known to them, and they cannot screen without bias. When the screening is electronic, detailed instructions are provided to the panel members. Applicants are blind screened and identified with an ID number.

When internal candidates are interviewing for a position, the HR Analyst will participate as an observer and note taker to minimize potential bias from the panel.

Promotions

What processes, procedures, or systems have been implemented in your Department to support protected groups moving into senior job classifications beyond regular career progression (e.g., training, leadership development, mentoring, etc.)? How effective have these initiatives been in supporting promotional opportunities for women and people of color?

- In 2021, the Auditor-Controller's Office purchased an annually renewable license of the Better Up Coaching program as presented and recommended by the Human Resources Department, Employee Engagement Division. This program provides coaching/training/support to managers on leadership and personal and professional development related topics. The training is offered to staff on a 3-month rotational basis

- Provide training opportunities for staff to meet Continuing Professional Education(CPE) requirements through Becker CPE subscription and Association of Government Accountants (AGA) webinars
- External workshops/trainings/seminars to ensure employee progression and professional development
- Continued support of employees wishing to further their job-related educational goals by granting requests for flexible schedules when feasible
- Coaching/mentoring of employees for progression and professional development to include CPA and other job-related licensing
- Provide training on all aspects of accounting practices and procedures, customer service and leadership through Becker webinars. Specific webinars are recommended by supervisors in performance evaluations to assist and support professional development
- Availability of job-related publications and journals
- HR Analyst reviews diversity of feeder groups for potential promotional only recruitments.

During 2021, there has been the promotion of one Hispanic female to Job Group 02, one Hispanic female promoted within Job Group 03, and two Hispanic females within Job Group 17.

How does your Department utilize performance evaluations to assess employees' commitment to building a diverse and inclusive workforce? How is this commitment considered when considering employees for promotional opportunities?

The completion of performance evaluations has been made a priority. Teamwork and Leadership are assessed along with technical skills. The Auditor-Controller implemented an additional review in the performance evaluation process. The supervisor/manager of the supervisor completing the evaluation, reviews the evaluation. The purpose of this review is to make upper-level management aware of employee performance and allows for additional suggestions for employee development. Once the evaluation is completed, it is sent to HR for a final review.

Retention and Inclusion

What data collection procedures/tools have you implemented to track the turnover rate for protected groups?

Report MC-HRM-EO-0003

Report MC-HRM-PERS-0001

What does the data show regarding turnover rates of protected groups compared to your Department's general population?

In 2021, there have been seven resignations/terminations in the Office. Of the seven resignations/terminations, three were retirements, one was a transfer to larger department with more opportunity for promotion, one for personal reasons, and two probationary releases. Five of the vacancies were filled by minority females and one by a white male. Application materials are currently in the screening process for the remaining position.

Based on the data collected, what are the negative and positive trends you have found, and how will you act on them?

The Auditor-Controller's Office has been successful in establishing eligible lists with qualified minority and female candidates.

In 2021, employees began transitioning back to working in the office, beginning with one day every two weeks and now one day per week. Teleworking has been successful with managers and supervisors being able to effectively monitor and provide support to their staff.

The Auditor-Controller continues to review and grant requests for flexible schedules while taking into consideration both employee needs and business requirements.

What steps has the Department taken to ensure lactation accommodations for all its employees?

The office adheres to the County Lactation in the Workplace policy. All new employees receive this policy during their orientation. Employees who return from family leave are provided information regarding lactation accommodations, which are available on the first floor of the Government Center.

What is the Department's practice when an employee requests an accommodation?

The HR Analyst, as the Departmental Reasonable Accommodation Coordinator, responds to requests for accommodation and works with the employee through the interactive process.

Does the Department conduct exit interviews? If so, what do you do with the answers to promote diversity and inclusion? If not, what alternative methods do you use to collect information regarding reasons for separation?

The HR Analyst conducts exit interviews. The information is shared with the Auditor-Controller and depending on the type of feedback, may be shared with others on the Executive Management Team. The feedback from exit interviews has been mostly positive.

What has been the greatest success/es regarding inclusiveness in your Department?

- The overall representation of diversity and females in the Office in Job Groups at all levels
- The ability to provide training and mentorship to prepare employees for competitive promotional opportunities.

What opportunities for improvement have you found, and how will you address them?

The Auditor-Controller's Office currently has four vacancies combined in Job Groups 03 and 17. Filling these vacancies will provide opportunities for promotion and increased diversity.

Section 7

Accomplishments and Resource Needs

Please highlight your Department's successes in achieving a diverse workforce in this section. Describe your Department's assessment of resource needs from the Civil Rights Office. Please share any suggestions and recommendations for improvement you can offer regarding current policies and procedures. Feel free to use examples or specify by job group.

Please include your Department's current compliance rates with required training offered by the Civil Rights Office. All employees must complete the Harassment and Discrimination Prevention Training and the Civil Rights Training every two years.

	Harassment and Discrimination Prevention Training	Civil Rights Training
Total number of Managers	23	23
Managers completed	16	8
Percent of Managers completed	70%	35%
Total number of Employees (non-supervisors/managers)	15	15
Employees (non-supervisors/managers) completed	9	12
Percent of Employees (non-supervisors/managers) completed	60%	80%

Section 8

Follow up requested by the Commission

Please discuss any follow-up requested by the Commission during past years' presentations on the Departmental Equal Opportunity Plan in this section. Follow-up may occur via action, memorandum, or additional presentation to the Commission.

Section 9

Title VI of the Civil Rights Act Implementation (Under the County's [Title VI of the Civil Rights Act Implementation Plan](#))

	Requirement	Implementation Notes	Completed
General	Title VI notice at public counters		X
	Internal process to forward discrimination complaints to Civil Rights Office	HR Analyst is notified and forwards to Civil Rights Office	X
	Nonstandard contracts include a nondiscrimination clause	NA	
	Data is collected on the ethnicity and language of people served	NA	
Language Access	Departmental language assessment completed		X
	Vital documents translated into Spanish	NA	
	Website – minimize PDFs. When using PDFs, include a Spanish version	NA	
	Procedures and budget for the use of interpretation and translation services	NA	
	Public voicemails in English and Spanish		X
	Public counters: language charts available	NA	
	Public counters: all signage in English and Spanish	NA	
	Public counters: procedures to have bilingual staff available	Receptionist is bilingual along with backup staff who provide coverage in her absence.	

Community Engagement	Projects, programs, policies, and services reflect County stakeholders and are sensitive to diverse demographic backgrounds	NA	
	Analyzed potential disproportionate adverse human health or environmental effect on communities of color, tribal communities, or others underrepresented in the public process	NA	
	Considerations taken to ensure equitable engagement	NA	
	Key community engagement contacts established	NA	