

Report on Department Policy

Department: Department of Labor and Licensing

Secretary: Daryl Bassett

The primary purpose of this report is to review existing policies and prompt an analysis of the opportunities for the integration of division policies within your department for standardization. An analysis of *policies* should consider all relevant factors including outdated processes, duplication across divisions, unique requirements, and opportunities for standardization. This analysis should take a holistic approach for developing action plans to deliver efficiency and effectiveness improvements while maintaining standardization across the Department.

Policy Integration Project

- 1.1. Provide a brief description of integration opportunities across divisions for policy standardization at the department level where practicable. What is the action plan for integrating policies? What are the benefits?

1.1 Project description. Policy standardization is one of the components of Project 2 on the Report on Shared Services previously submitted. That project involves the creation of an Administrative Services Office to coordinate and deliver shared services for all ADLL boards and commissions. Centralization of administrative functions and improved efficiencies are not possible without standardization of policies involving human resources, procurement, information technology services and similar services to the extent possible. Further, standardization of human resource policies such as conduct standards is necessary to ensure consistent treatment of employees across the department.

Integration of policies that impact the regulated stakeholders will primarily occur in two ways. First, through the creation of a common data repository, referred to as the Laserfiche project, outlined as the principal project in the ADLL Shared Services Report. Second, this will occur through the rule-making process. These are long term projects that are not addressed in this report.

1.1 Action plan. The overall project plan provided that in the Spring of 2020 the department would coordinate with the licensing entities on processes that can updated, eliminated, streamlined and moved to the Administrative Services Offices. This includes administrative policies. The department is surveying for policies as it makes surveys and assessments of all administrative services because policies are intricately and necessarily connected to procedures and practices. The first standardization will be IT policies; procurement policies; and human resource policies.

A. IT Policies. The department is currently undergoing an IT assessment, including hardware, software, contracts, vendors, policies, and practices. The policy concerns principally involve procurement, security and privacy. The ADLL's CIO is currently assessing IT needs and capabilities. Additionally, a privacy assessment from DIS Chief Privacy Officer has been sent to the boards and commissions which is due back to ADLL on January 24, 2020. It will be compiled, and a copy provided to DIS by January 31, 2020. We anticipate this assessment to provide needed information on privacy and security policy needs, as well as training policies for employees handling confidential information. Much of the final integration will depend on the completion of the facilities plan. For example, a privacy policy for employees in a cubicle environment will look completely different than for employees in a more traditional office/suite environment.

The installation of a singular security platform will be completed by March 1, 2020. This platform allows identification and remediation of all cyber security threats from a single dashboard. It will be the first project completed which provides a Cabinet level approach of managing each section. Any policy issues will be addressed with the completion of the project.

B. Procurement and Other Fiscal Policies. The Finance Section has obtained contracts and vendor lists and is currently assessing procedures more than policies. Integration, in terms of agency-specific policy is awaiting completion of the facilities plan and will primarily involve internal controls and approvals.

Travel approvals and any board-specific travel rules will be surveyed with the Human Resource survey.

C. Human Resource Policies. The integration of human resource management and human resource policies is not as dependent on the facilities plan as other areas. The ADLL is developing a survey for human resource or personnel policies that are specific to its boards and commissions. The survey will include the following areas: conduct standards; disciplinary policies and procedures; grievance procedures; EEO policies; performance reviews; training; attendance and leave; overtime and record-keeping.

1.2. What steps will you take to gather the necessary information to determine whether division policies can be integrated? Address any key division requirements preventing policy integration if applicable.

- January 2020. Privacy Assessment.
- February 2020. Human Resource Survey.
- March 1, 2020. Installation of as a singular security platform
- March 2020. Legal Services Survey (may have policy implications).
- May 2020. Draft policies due to the Secretary from CIO, CFO, General Counsel and HR.
- July 2020. Initial roll-out of integrated agency-specific personnel and travel policies and initiation of employee training sessions, as needed.

1.3. Are there any anticipated costs associated with revising and standardizing policies? Does your current budget have sufficient funds to cover all anticipated costs?

There are no costs associated with revising and standardizing policies, except for the man-hour costs from agency personnel spent in analyzing and drafting. The current budget will therefore cover the needs.

1.4. What is the implementation timeline and key action steps for this policy roll-out? How will you communicate this timeline and policy roll-out to division stakeholders?

The timeline is above in 1.2. It has been communicated to senior staff and the Secretary's Executive Team. It is subject to revision. It is anticipated that the roll-out of personnel and travel policies will go to all employees at one time with staggered training and information sessions as needed. Other integrated policies, such as IT policies, are anticipated to have an incremental roll-out and perhaps only to impacted personnel.

1.5. How could the Department of Transformation and Shared Services provide support to your Department?

We are waiting to review anticipated statewide policy revisions in order to determine any need for an agency-specific policy. For example, the ADLL is looking for a new state grievance policy that will avoid any need for an agency-specific policy. The same is true for other anticipated policy revisions from the Department of Transformation and Shared Services, such as a State Privacy Policy.

Additionally, in terms of state employee training, we would hope to see an expanded list that involved compliance training in common areas that we now have to handle individually by agency. For example, FLSA compliance and HIPAA compliance would be useful.

Additional thoughts/comments: