

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

220 A



FROM: Human Resources Department

SUBMITTAL DATE:
November 28, 2007

SUBJECT: California Personnel State Board Merit Systems Audit Report

RECOMMENDED MOTION: Receive and file the Merit System Audit Report

BACKGROUND: Merit System Services (MSS) audits Local California Agency Personnel Systems to insure they are operating a "merit system" as required by federal law as a condition of receiving Federal and State funding for Social Services and Child Support Services programs. The attached report formally approves Riverside County's Merit System, and summarizes the results of the personnel program review of Riverside County Human Resources.

Departmental Concurrence

Ronald W. Komers
Asst. County Executive Officer/Human Resources Dir.

FINANCIAL DATA	Current F.Y. Total Cost:	\$	In Current Year Budget:
	Current F.Y. Net County Cost:	\$	Budget Adjustment:
	Annual Net County Cost:	\$	For Fiscal Year: 2007/08

SOURCE OF FUNDS:	Positions To Be Deleted Per A-30	<input type="checkbox"/>
	Requires 4/5 Vote	<input type="checkbox"/>

C.E.O. RECOMMENDATION: APPROVE

BY:
Elizabeth J. Olson

County Executive Office Signature

- Dep't Recomm.: Policy
- Per Exec. Ofc.: Policy
- Consent
- Consent

Prev. Agn. Ref.: | **District:** | **Agenda Number:** 2.2

BACKGROUND continued

Highlights of Major Findings

- The County of Riverside continues to be a leader in Human Resources Management. The County is highly automated and has a very modern, innovative, and technologically based process in the areas of recruitment and selection as demonstrated in the use of the Job Match/Resumix System. In addition, the County uses other modern approaches such as offering sign-up bonuses to new Social Workers in an effort to recruit and retain qualified and talented Social Workers within the County.
- Riverside County Human Resource Services continues to be innovative, highly automated, and on the cutting edge of public sector recruitment. In addition, Riverside County has won many awards for its recruiting innovations. The County continues to be in overall compliance with the standards, with the only recommendation to update the EEO Plan as referenced in the attached report.
- The audit team was impressed with the exceptional communication between human resources staff and operating departments and the high degree of cooperative interaction. DPSS and DCSS indicated a close working relationship with the Human Resources Department management and analysts. The Human Resources staff and operating department staff interviewed are well qualified and professional and have a clear understanding of their mission and how it is to be delivered.
- The County is proactive in all relevant areas including recruitment and selection, classification, grievances and appeal files being very well documented and organized. The County provides a training plan that prepares employees for promotional opportunities. In addition, the County offers a tuition reimbursement program designed to provide employees the opportunity to continue their self-development. This is evident in the County's extensive investment in the Center for Government Excellence program and the variety of growth opportunity courses offered each year to employees in areas like supervision, management, and organizational leadership.

We request the Board receive and file this report documenting our compliance with California Local Agency Personnel Standards.

Personnel Management Program Review

REPORT OF FINDINGS

October 2007



**Cooperative Personnel Services
Merit System Services**
241 Lathrop Way
Sacramento, CA 95815

Team Members

Gary Burkett-Don Benedetti
Lisa Bryant-Tameka Usher
Ann-Marie Anderson-Doug Darling
Katie Souza


Human Resource Services

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REVIEW – REPORT OF FINDINGS

Background

Under contract with the California State Personnel Board, Merit System Services (MSS) is charged with ensuring the personnel systems of local agencies receiving Federal and State funding for Social Services and Child Support Services programs are in conformance with the California Local Agency Personnel Standards (LAPS). For counties operating an Approved Local Merit System, such as Riverside County, MSS periodically conducts a personnel program review comparing its operations with the merit principles outlined in LAPS Chapter 1. This report summarizes the results of the personnel program review of Riverside County.

The information included in this report is based on:

- Review of County personnel plan materials including the County Code, civil service rules, ordinances, policies and procedures, memoranda of understanding, budget documents, and various personnel-related files (i.e. examination, classification, appeal, grievance), and computer printouts.
- Interviews conducted with the Departments of Personnel, Social Services, and Child Support Services.

General Description of the Organization

Riverside County is a general law County with approximately 25,000 approved positions, approximately 19,000 of which are currently filled. As noted in Title 3 of Riverside County's Personnel Rules, appointments and promotions shall be made on the basis of merit and ability. Furthermore, Title 3 states that the personnel administration under Title 3 is designated as a merit system.

The County Executive Officer reports to and is responsible to the Board of Supervisors for the proper and efficient administration of all county departments, agencies and special districts under the jurisdiction of the Board of Supervisors. The County Executive Officer has the responsibility and authority to manage and administrate the affairs of the county, to provide long-range planning which integrates all county activities, and to serve the board as its chief of staff in both internal and intergovernmental affairs, as noted in Title 2 of the Riverside County Code.

The Director of Human Resources/Assistant County Executive Officer is responsible for managing and directing the County's Human Resources Department. This position is an exempt position and is accountable for accomplishing department goals and objectives and for furthering County general policy goals and objectives within general policy guidelines.

It is the mission of Riverside County's Human Resources Department to strategically partner with County departments to effectively attract, retain, develop, nurture, compensate, manage, and lead a world-class workforce.

Riverside County's Human Resources Department is comprised of nine different teams, each of which is responsible for different and varying departments and services. For example, the Social Services Team is responsible for providing human resource services to the Department of Public Social Services, Public Authority, Veterans Services, and Community Action. The Human Resources Department provides services which cover over 7,000 square miles. The Department is divided into 12 divisions which cover recruitment and selection, temporary and medical assignment programs, the center for government excellence, employee relations, employee services, benefits, health, information services, occupational health, specialty units, return to work/disability management, classification and compensation, and the enterprise unit.

The Department of Public Social Services (DPSS) provides many different forms of public assistance including pre-natal Medi-Cal services for low income women to subsidized in-home care for vulnerable seniors and disabled adults. In addition, DPSS provides foster care, kinship care, In-Home Supportive Services, and adoption services. DPSS also has a Curtailing Abuse Related to the Elderly (CARE) program which provides education and outreach for the community to assist in the prevention of financial abuse and consumer fraud.

Other services provided by DPSS include temporary financial assistance, employment services, Food Stamps, and Medi-Cal. DPSS has approximately 3000 employees.

Child Support Services is a separate county department and has approximately 435 employees.

Highlights of Major Findings

Riverside County Human Resource Services continues to be innovative, highly automated, and on the cutting edge of public sector recruitment. In addition, Riverside County has won many awards for its recruiting innovations. The County continues to be in general overall compliance with the standards, needing only to update the EEO Plan as referenced in this report.

The County of Riverside continues to be a leader in Human Resources Management. The County is highly automated and has a very modern, innovative, and technologically based process in the areas of recruitment and selection as demonstrated in the use of the Job Match/Resumix System. In addition, the County uses other modern approaches such as offering up to \$10,000 sign-up bonuses to new Social Workers in an effort to recruit and retain qualified and talented Social Workers within the County.

The audit team was impressed with the open communication between personnel staff and operating departments and the high degree of cooperative interaction. DPSS and CSS indicated a close working relationship with the Human Resources Department management and analysts. The Human Resources staff and operating department staff interviewed are well qualified and professional and have a clear understanding of their mission and how it is to be delivered.

The County is proactive in all relevant areas including recruitment and selection, classification, grievances and appeal files being very well documented and organized. The County provides a training plan that prepares employees for promotional

opportunities. In addition, the County offers a tuition reimbursement program designed to provide employees the opportunity to continue their self-development. This is evident in the County's extensive investment in the Center for Government Excellence program and the variety of growth opportunity courses offered each year to employees in areas like supervision, management, and organizational leadership.

The Human Resources department is well managed and there appears to be high morale throughout the County.

MERIT PRINCIPLE 1 – RECRUITMENT AND SELECTION

General Requirement - LAPS 17110

Recruiting, selecting, and advancing employees will be on the basis of their relative ability, knowledge and skills, including open consideration of qualified applicants for initial appointment.

Recruitment Efforts - LAPS 17111

Recruitment efforts shall be planned and carried out in a manner that assures equal opportunity and open competition for initial career service appointment for all job applicants. Basic recruitment efforts for entry into the career service will include posting of examination announcements in appropriate public places for a minimum of five working days to ensure that an adequate number of candidates will apply.

Discussion

Riverside County has a strong centralized personnel department that has county-wide responsibility for management and oversight of the County's recruitment, testing, and selection processes. The Human Resources Director is also an Assistant County Executive Officer. Although DPSS and CSS are each assigned Human Resource Services Managers who administer the recruitment and selection activities for their departments and function as directors, they report to and are accountable to central HR. The departmental Human Resource Services Managers are well aware of their obligation to ensure that processes and practices conform to civil services rules and to all other pertinent state and federal laws, rules, and regulations relating to recruitment, testing, and hiring practices. Audit staff conducted review sessions with key personnel professionals and management staff in the central Human Resources Department and the Human Resource Services Managers and staff who work with the covered departments.

Title 3 of the Riverside County Rules and Regulations outline the standards that govern personnel activities. These rules state that the personnel function of the county is designated as a merit system, and that "appointments and promotions shall be made on the basis of merit and ability." Methods for assessing applicants' abilities include any combination of written, oral, or performance tests, and/or rating of education, training, and experience. They also provide for administration of a veterans preference program. In addition to Title 3, the County has a Recruitment Manual that details the proper processes and procedures for conducting recruitments, including timeframe and volume standards. The manual includes screen shots and sample copies of forms and letters. Riverside County is to be commended for creating and maintaining a manual of standard operating rules and procedures to assist professional and technical staff in conducting recruitments and testing job applicants.

The Human Resource Services Manager for the DPSS also oversees the recruitment and selection activities for the Community Action Agency, Public Authority, and Veterans Services. The Human Resource Services Manager for CSS also oversees the recruitment and selection activities for County Counsel, Courts, District Attorney, Probation, and the Public Defender. Their staffs are comprised of recruiters and technicians, who function in much the same capacity, although they recruit for different level positions.

In an effort to attract the most qualified candidates, advertising is done on the County website, Careerbuilder.com, Monster.com., at universities, and with various other online resources such as bilingual-jobs.com and Hispanic-jobs.com, and governmentjobs.com. Careerbuilder.com and Monster.com each have a link that takes the applicant to the County of Riverside Human Resources home page. In addition, some positions in DPSS are listed on the National Association of Social Workers website and socialservices.com. Job opportunities are posted for a minimum of five days and the benefits associated with each position are part of the information contained in the posting. The county does not use an application, but accepts resumes instead through a program called Resumix, which currently has over 100,000 resumes. The department recruits for approximately 200 positions every month.

Some entry level positions, positions in commonly used classes, and difficult to fill positions are listed on a continuous basis. Of the 122 jobs currently listed online, 68 are listed as continuous and 54 have a final filing date. The County requires Board of Supervisors (BOS) approval to fill all positions. As submitted by the County, new positions are requested via Form 11, which is reviewed by the HR Director and then submitted to the BOS for final approval.

Riverside County Human Resource Services has been on the cutting edge of public sector recruitment and has won many awards for its recruiting innovations. Its processes are highly automated and rely on specialized technology. The foundation of the recruitment efforts is Resumix – the automated system that receives and stores résumés and allows departmental recruiters to search for candidates whose knowledge, skills, and abilities match the needs of a specific position. The department is moving toward implementation of PeopleSoft, as the Resumix system will no longer be supported by its developers. The department does not have an application form and only accepts résumés. Most of them are submitted online, but any that are received via hard copy, email, or fax are scanned into the system. Candidates are sent a letter acknowledging receipt of the résumé; the letter informs them of the basic recruitment process and how to keep their résumé active. It also provides contact information for testing for specific skills and jobs.

Resumix has a résumé template for candidates to use. The department provides training to candidates on how to complete a résumé in a way that optimally presents their qualifications. Staff also offer tips to those who call in with questions about not being screened in.

Riverside County has also done one day hiring events to recruit for Office Assistants. At the time of the audit, DPSS and CSS had not yet participated. However, DPSS is planning to participate in the next one day hiring event and based upon the information provided by the County, the process and procedures comply with the merit principles outlined in L.A.P.S Chapter 1.

Statistics available for July 2007 indicate that 79% of the résumés submitted were received electronically and 21% hard copy on a County-wide basis. In looking at additional statistics provided from January of 2006 through December of 2006, the monthly average of applications submitted was 7,264 with an average of 68% of the résumés submitted online. For the period dated January 2007 to July 2007, a monthly average of 10,054 resumes were submitted, with approximately 75% of those resumes submitted electronically.

Recommendation

Meets Standard

Selection Procedures - LAPS 17112 (a)

Selection procedures, including appropriate ranking for entry to the career service, shall be job related and shall maximize to the extent practicable validity, reliability, and objectivity. The Uniform Guidelines on Employee Selection Procedures, as published in the Consolidated Federal Register (at 5 CFR, 900, Subpart F, Appendix B), are incorporated into these rules.

Discussion

Upon receipt of a requisition, the recruiter or technician meets with the hiring manager or other subject matter expert to complete a job evaluation form and decide what advertising should be done. The job evaluation form is an abbreviated job analysis in which the key essential duties and their associated knowledge, skills, and abilities (KSAs) are defined. This becomes the basis for the search conducted in the Resumix system. There are very few set exam plans; rather, those are adapted based on the needs of the particular position.

After the recruitment is completed, the technician or recruiter uses information from the job evaluation form to determine what search criteria will be used to find the best qualified candidates in Resumix. If written exam components were part of the exam plan, the pre-determined passing score for those tests becomes part of the search criteria along with the required and desirable KSAs. Resumix generates a list of the candidates whose scores were passing and who possess all of the required KSAs. The candidates are ranked in score order based on their possession of desirable qualifications. Recruiters and technicians conduct a minimum of two searches for each recruitment. It is at this point that candidates' résumés are reviewed to determine if they meet the minimum qualifications for the position. Once the recruiter or technician has found a sufficient number who qualify, s/he contacts the top scorers and gives them general information about the position and determines whether or not they are interested. Names are then certified to a list, which is forwarded to the department.

With respect to the searches in Resumix, it is clear that it requires extensive training to become proficient in using this tool in order to ensure that results are valid and job-related. The HR Services Manager for the Assessment Center indicated that all recruiters receive consistent training from her during the Recruiters' meetings. Additionally, the DPSS HR Services Manager would continue to train their staff in their department specific concept and principles.

On review of the recruitment folders in DPSS, team members noted that the second search conducted for an Office Assistant II position used scores for a math exam component as one of the search criteria. However, there was no mention of math as a KSA required or desired for the position. The Senior Human Resources Analyst stated that she would have checked the 1546 (Candidate Requisition Form) to make sure that it contained a searched for skill that was not noted on the position evaluation. In this situation this was the case so she knew the position required performing basic benefit calculations. However, she was not the recruiter for this position, and a new recruiter would not be as familiar with the position and would not have had the information necessary to make the decision to use math as a search criteria.

Written exams, administered via computer, are given for general clerical, accounting clerical, Eligibility Technician, and Social Worker classifications within DPSS. Written exam scores are valid for six months. To further enhance the validity of the testing process for Eligibility Technicians, the written exam for this class underwent a job analysis and test validation study in July of 2006. The audit team received a copy of the study which was very thorough in nature. There are no written exams used for CSS.

Exams are administered in the County's assessment center in a proctored setting. Candidates may also take some of the exams unproctored – in their homes, library, or other setting. Candidates who opt for unproctored testing are informed in advance that if hired they will need to take a proctored parallel exam to validate their original score. Currently, the Office Assistant II/III and Accounting Assistant I/II are testing unproctored; however candidates are given the option to test in a proctored environment. This represents four unproctored tests out of 52 exams given, or 7.7% of tests offered. Utilizing the Standard Error of Measurement (SEM) for each test battery, the County builds a 95% confidence interval around the unproctored score. The proctored score is assessed to determine whether it falls within the confidence interval established around the unproctored score. The department reports that there are only two cases where candidates have scored outside the lower threshold of the unproctored score confidence interval. The outcome of these two cases ended with disqualifying the candidates from the interview process.

Candidates on DPSS lists go through an oral exam/hiring interview following their certification to the list. The panel generally consists of two people. The Human Resource Analyst coordinates with the appropriate supervisor or manager to determine the panel members. Prior to each oral examination, each panel member is given a copy of the general instructions, which an HR Analyst also reviews with the panelists. The Human Resources staff is involved from the beginning of the testing process through its

completion which includes meeting with the subject matter expert, developing the interview questions using the job analysis, scoring, test notifications, and the establishment of the eligibility list. Scoring is on a scale of 1 – 5, 1-7, or 1-10; however, there were no specific guidelines for assigning scores on the majority of the testing files reviewed. Following the oral exam/hiring interview, a hiring panel convenes to make final decisions. In CSS, the Resumix search and ranking is the only process used to rank candidates prior to the hiring interview.

From July 1, 2005 through July 31, 2007, there were 9995 total exams administered in DPSS and 721 candidates interviewed in CSS. In CSS, of the 721 candidates interviewed (hiring interview), 135 were also administered a computerized written examination. The following is a breakdown of the type of testing modalities that were used for the period July 1, 2005 to July 31, 2007:

TEST TYPE (DPSS Testing)	TOTAL
Computerized Testing	9153
Oral Examinations	806
Physical Agility	27
Training and Experience	9

Staff reviewed test files and determined that the methods and procedures for conducting these examinations are clearly documented and filed within the recruitment folders. Within DPSS, a review of test folders indicate that the HR staff use testing devices such as computerized written examinations, oral assessment boards, and Resumix searches. Within CSS, review of the files indicated that oral examinations are not currently being conducted, primarily because few recruitments have occurred. For clerical classes (e.g., Accounting Assistants, Mail Clerks, and Office Assistants) where there is a higher volume of applicants and recruitment activity, computerized testing is administered in the assessment center.

Adverse impact is not currently being measured in DPSS or DCSS; however, the County noted that adverse impact is measured in the Sheriff's department for POST positions. The pass point for written examinations is set in general conformance with the Uniform Guidelines on Employee Selection Procedure and written examinations are reviewed by experts to determine appropriate job relatedness and validity. However, it is important to note that adverse impact is a key factor to consider when determining the pass point, and it is recommended that HR measure adverse impact as is currently done in the Sheriff's department.

Recommendation

Overall, the County is in general compliance, needing only to implement a process for measuring adverse impact in the selection process.

Limiting Competition - LAPS 17112 (b)

Competition for appropriate positions may be limited to facilitate the employment of persons with a disability or participants in employment or rehabilitation programs authorized by Congress or the California Legislature.

Discussion

The County of Riverside noted that they do not limit competition to, nor do they specifically target, persons with a disability or participants in employment or rehabilitation programs. However, it was noted that recruitments are posted to CareerBuilder and Monster both of which have partner-sites that target a wide variety of candidates including diversity partners. In addition, Riverside noted that it is their practice to review internal accommodation candidates due to restrictions through the ADA/FEHA interactive process. When conducting searches for candidates, the accommodation list search occurs after the layoff list search, which is the first search in the recruitment process. If no qualified candidates are identified after either search, or if candidates from either search were interviewed and not hired due to lack of sufficient qualifications (or if the department is unable to accommodate an accommodation candidate), then the regular search process begins.

Recommendation

Meets Standard

Appointments from Eligible Lists - LAPS 17112 (c)

Appointments to permanent career service positions shall be made through selection from appropriately-ranked eligible lists. Appointment procedures may not allow the appointment either beyond the top ten eligibles or the top ten percent of eligibles or the top predetermined score group of those on an eligible list who are willing to accept the conditions of employment.

Discussion

Eligible lists are established as described under the section Selection Procedures - LAPS 17112 (a). Candidates are listed in descending order based on their Resumix score. Certification is based on the nine highest scoring eligibles plus one additional eligible for each vacancy. Additional eligibles are certified for tied scores and may also be in anticipation of no shows. When there are more than ten eligibles on a DPSS list, the hiring manager must always contact the recruiter prior to appointing an individual to ensure that the individual is in the top ten.

Eligible lists are certified on a position basis. While a list is often used to fill multiple simultaneous vacancies, only occasionally is a list used to fill a vacancy that arises after the list was initially used. Generally, a new list is only used for one round of hiring. The departments are required to interview all the candidates on the list. If they do not feel that any of the candidates meet their needs, they may request a new list. This involves talking with the recruiter again about the criteria for the position and going back to the job evaluation form.

Audit team members reviewed recruitment folders for DPSS and CSS and examined certification lists. There are codes delineated on the certification lists for the hiring authority to use to indicate whether or not a candidate was interviewed and what was ultimately decided about the candidate. Team members noted that in a few instances in DPSS, invalid codes were used and there was no indication that HR had followed up to get accurate codes. The Senior Human Resources Analyst stated that because the certification list is considered a legal document and is signed by the hiring authority the recruiters do not alter it. If information is missing or incorrect the recruiters must contact the hiring authority to obtain the information and note the correct information within the Resumix requisition.

Recommendation

Meets Standard

Permanent Appointments - LAPS 17112 (d)

Permanent appointment for entry to the career service will be contingent upon satisfactory performance by the employee during a reasonable, time-limited probationary period. As a general rule, probationary periods may not exceed one year.

Discussion

Permanent positions in the classified service serve a probationary period of 12 months. This term may be extended in three month increments up to two times based on performance and with the approval of the Human Resources Director, although such practice is discouraged.

Probationary employees may be removed from employment for unsatisfactory performance. Riverside's MOUs associated with each group of employees for both DPSS and CSS clearly outline the provisions regarding probationary status employees and their ability to be released during the probationary period.

Recommendation

Meets Standard

Non-status Appointment - LAPS 17112 (e)

Non-status appointments shall not be used as a way of defeating the purpose of the career service and shall have a reasonable time limit. As a general rule, reasonable time limit is one year. If lists of eligible candidates are available they will be used for filling temporary positions. Short-term, emergency appointments may be made without regard to the other provisions of this section to provide for maintenance of essential services in an emergency situation when normal procedures are not practical.

Discussion

The county has what is known as the Temporary Assignment Program (TAP). This is another award-winning program and is designed to provide the highest level of customer service as it responds to the County of Riverside's temporary staffing needs. It functions similar to a temporary staffing agency and performs such services as

recruitment, physical examination including drug/alcohol screening, skills testing, a background check, interviews, and a customized orientation. Per Title 3, temporary employees may not work in excess of 1000 hours during a fiscal year. However, a department head may request approval from the Board of Supervisors to extend a temporary appointment beyond the 1000 hours. TAP does not use Resumix in their recruiting process, with the exception of providing candidates to the database also for consideration for regular jobs. Instead, TAP has their own process of recruiting which includes a paper-based application and personal interview by a TAP recruiter as part of the process.

The county does not have other types of non-status appointments such as Provisional, Emergency, or Extra-help.

Employee count as of August 14, 2007

Non Status Appointments	Total Regular Employees (approximately)	TAP	Percent TAP
Department of Public Social Services	3,234	187	5.8%
Dept of Child Support Services	435	39	8.9%

Recommendation
Meets Standard

Career Advancement - LAPS 17113

Formal promotional examination processes are encouraged when filling higher level career service positions. Such processes shall maximize to the extent practicable validity, reliability, and objectivity.

Discussion

Rules are in place to conduct promotional recruitment in County departments.

At DPSS a total of 249 promotional recruitments were conducted from July 1, 2005 to July 31, 2007, with 152 of these recruitments being departmental only and 97 being county-wide promotional. Of the 122 recruitments on the website, only three were listed as promotional.

Within DPSS, Human Resources determines, by running a search of candidates through Resumix, if there is a sufficient internal pool of highly qualified candidates for promotional opportunities.

Recommendation
Meets Standard.

MERIT PRINCIPLE 2 - CLASSIFICATION

Classification Plans - LAPS 17121

Classification plans will be maintained on a current basis, and will:

- Be the foundation for selection, compensation, training, promotion, demotion, reduction-in-force, re-employment, and related decisions
- Include class specifications formally adopted by the local agency's governing board or it's authorized representative
- Include job-related minimum qualifications or employment standards of education, experience, knowledge, and abilities

Discussion

The County of Riverside has a centralized classification system administered by the County's Central Human Resources Department. Allocations of positions to departments and any changes to the allocation of positions are recommended by the Assistant CEO – Human Resources Director and approved by the County Executive Officer. Departments are required to demonstrate to the County Executive Officer that they have the funding to add or reclassify positions. The authority for implementing and maintaining the current County classification Plan can be found in Ordinance Number 440, Section 4. On February 4, 1998, the Board of Supervisors adopted Classification Policy C-19 which amended Ordinance No. 440 to provide for a new system and process for conducting classification studies.

Board Policy C-19 was an overhaul of former classification practices within the Human Resources Department. The focus of this policy change was to bring the classification process under a unified systematic control. To accomplish this, the Board of Supervisors authorized, on January 20, 1998, the creation of the Classification and Maintenance Unit. The major changes in this new policy are as follows:

All County classifications will be reviewed every 5 years. Studies focus on occupational groups or like positions on a countywide basis.

The new classifications created and salary increases or decreases will be brought to the Board of Supervisors following the completed study. Exception studies that result in a new classification are also sent to the Board of Supervisors upon completion.

Periodically requests for classification study or review are brought forward outside the 5 year systematic review process. These studies are generally brought forward as part of a departmental reorganization, working out of class or as part of a grievance or union

issue. These special requests are handled through the exception request process. The Classification and Compensation Unit is responsible for reviewing and approving/denying all classification recommendations resulting from exception studies.

Classification Maintenance Unit staff carefully examine exception study requests to ensure that they have merit prior to proceeding to a full review process. Departments or effected employees requesting a classification review will be asked to complete a Position Description Questionnaire to assist the personnel professional in analyzing the duties and responsibilities associated with the position(s). Department managers and supervisors are required to complete their portion of the questionnaire for exception studies. Occupational studies require initial input from department managers and require PDQs for most or all incumbents included in the study. Staff may then complete a desk audit and compare the position(s) with other similar positions within the County to determine the extent review will impact other positions.

Employees and the general public have access to Riverside County job classifications, salary and benefits information and labor contracts through the intranet and internet. Riverside County is continually updating its class specifications. The County continues to update class specifications through the job analysis and exception study process. Requests for position recruitment trigger a job analysis of that position. Personnel staff will conduct a job analysis to ensure that the current class specification clearly describes the duties and responsibilities of the position being recruited for by the requesting department.

Accurate updating of class specifications is especially important with the current use of the JobMatch resume scanning system (Resumix). This system relies on accurate information regarding classification concepts, duty statements and current KSAs. The Resumix system searches the applicant's resume for specific job related requirements which include education, experience, skills, knowledge and ability. Any changes to the class specifications will be reviewed and approved by the Assistant CEO - Director of Human Resources. Changes to the class specification will be forwarded to the Job Match Team upon adoption of the new class specification.

Riverside County currently has approximately 20,000 employees and 2,000 classifications. The Department of Public Social Services has approximately 151 classifications with approximately 4133 allocated positions. The Department of Child Support Services (DCSS) has approximately 54 classifications and approximately 460 allocated positions.

The current Memorandum of Understanding between Riverside County and Service Employees International Union, Local 1997 and Resolution No. 2007-318 provide for the administration of out-of-classification assignments. No regular employee shall be assigned to exercise the powers or perform the duties of any classification other than his/her own classification for an accumulated period of 480 hours or more during any one calendar year. The above agreement and resolution also provides that accumulated hours of such assignment(s) shall be credited toward qualifying experience for possible

promotion only when such assignments have been authorized or verified by the agency/department head or designee in writing.

A review of County classification documentation, classification specifications: County salary Ordinance No. 440 and Human Resources Department procedures revealed a pattern of appropriate evaluation, revision and development of classification specifications to meet recruitment, training, evaluation, program and personnel requirements. Staff reviewed the Human Resources Department's classification files and determined that they are inclusive of all necessary documentation to make a proper classification determination. During the fiscal year 2006/2007 the Classification Maintenance Unit began or completed a total of 217 classification studies effecting approximately 5,003 positions. These studies were conducted by an in-house staff of seven. Discussions with Department of Public Social Services and Department of Child Support Services managers and staff indicated that that they were satisfied with the services provided by the Classification Maintenance Unit.

Recommendation
Meets standards.

Compensation - LAPS 17122

To maintain a high quality public workforce and assure equitable compensation for comparable work, the compensation plan will take into account the responsibility and difficulty of the work, the compensation needed to compete in the labor market, and other pertinent factors.

Discussion

Riverside County conducts compensation studies for a variety of reasons. Generally the County conducts compensation studies for the following reasons:

- There has been difficulty in recruitment and retention for a particular class.
- A new classification was approved through the budget process requiring the development of an appropriate level of compensation.
- There has been a reorganization within a department or division which may have changed the scope of duties for a classification significantly
- A request for an equity review by management or a recognized bargaining unit during the negotiations process or as part of a legally mandated change.

The Board of Supervisors is responsible for reviewing salary recommendations for new classifications. Salary increases are negotiated with recognized bargaining units in the Riverside County. The Assistant CEO – Human Resources Director will prepare and transmit through the County Executive Office to the Board of Supervisors any recommended salary changes that are a result of the adoption of a new classification or

that have come through the negotiations process. The County Executive Officer is responsible for recommending rates of pay, to the Board of Supervisors, for employees in the unclassified service.

When the County reviews salary for a particular classification or series of classifications it will gather salary data using the top step average of comparable classes within each of the five (5) comparable counties for non-management employees and the nine (9) comparable counties for management employees. When conducting equity studies the Classification and Maintenance Unit will review representative classes in comparable counties. Riverside County comparables for non-management are: Ventura, Los Angeles, Orange, San Diego and San Bernardino counties. Management studies include the additional counties of Sacramento, Alameda, Contra Costa and Santa Clara counties. The County may conduct a market check of other agencies when classifications are hard to recruit for or when there are no matches in comparable agencies.

Board of Supervisors Policy C-19 provides for classification and parity studies conducted by the Classification Maintenance Unit on a systematic basis and salary increases resulting from these studies are sent to the Board of Supervisors for review and approval. The Memorandum of Understanding between Riverside County and the Service Employees International Union, Local 1997 provides for discussions regarding salary parity under Article XXIX of that agreement.

The County has a comprehensive website which employees and the general public may review anytime. The website contains class specifications with respective salary ranges and employee benefits for each classification.

Recommendation

Meets standards.

MERIT PRINCIPLE 3 - TRAINING

Training - LAPS 17130

Employees will be trained as needed to assure high-quality performance. In addition to providing training to improve performance, training should also be provided as needed to prepare employees for more responsible assignments and to implement affirmative action plans for equal employment opportunity.

Discussion

Riverside County has a county-wide training program managed within the Center for Government Excellence. The Center for Government Excellence is under the direction of the Assistant CEO-Director of Human Resources. Riverside County places a high degree of importance on being the "Greater Place to Work" in the County. Riverside County has adopted the branding method to attract and retain employees. The Board of Supervisors adopted the policy that Riverside County will be the highest paying government entities in the area.

The Center for Government Excellence uses the Lominger Leadership model which includes 67 competencies which embraces the theory that employee development is a gradual process and occurs in phases over the course of one's career. In addition, this model is based on the principle that the concerns of management are different from those of supervisors, so preparation for the next level of promotion requires a focus on an additional training and a new set of competencies.

The Center for Government Excellence offers a variety of core training courses such as customer service, ethics, diversity, survival Spanish I, business writing along with mandated classes as part of the initial employee orientation. The Center offers courses that deal with individual development as well as the more advanced development as part of the Employee Public Service Excellence training.

Supervisory, management and leadership excellence training is offered to interested employees with department head approval. The County believes in preparing those employees who have demonstrated an interest and ability to take supervisory or management courses before they step into that role. This is a philosophy that prepares a potential supervisor or manager for the role prior to being placed in that position of responsibility.

The training courses are linked to competencies that have a direct impact on employee performance and evaluation. These courses are designed to improve the employee's potential for promotion to higher level positions within the County. The Center for

Government Excellence is continually evaluating the County's training and development needs based on input from trainees and departments.

Discussions with management staff within the Department of Public Social Services indicate that a majority of current training courses are taught by in-house Staff Development Officers and Training Officers. The Department contracts with outside vendor to provide training that is not offered by staff. Staff Development offers such courses as: conflict management, diversity training, team building, supervisory skills as well as technical training that are related to a specific job classes in social services and public assistance.

Line supervisors in Riverside County continue to provide day-to-day training to subordinates upon the completion of their formal departmental training. Supervisors provide ongoing technical training to Eligibility Specialists and Technicians and Social Services Workers.

Discussions with management staff in Staff Development indicate that the Human Resources and Staff Development Division is currently conducting a departmental needs assessment to determine how that Division can best serve the training needs of the Department of Public Social Services. As part of that needs assessment study staff is looking into the advantages of linking up with the Center for Government Excellence at some point in the future.

Discussions with staff from the Department of Child Support Services indicate that all supervisors and managers have the opportunity to go through the County's Center for Government Excellence Training programs. Employees within the Department of Child Support Services can complete a Request for Training Form to be considered for courses offered by the Center or can be considered for other training offered by outside vendors.

Staff development Officers within the Department of Child Support Services provide new Support Specialists with an eight (8) week technical training course relating to the day-to-day activities and responsibilities associated with their job. Additional technical training will be provided by both supervisors and outside vendors. Child Support staff are also encouraged to attend training conferences such as the one offered by the Child Support Directors Association in Anaheim this year. Staff indicated that approximately 44 Child Support Staff will attend this conference.

Staff indicated that the combination of training offered by the County and outside vendors has enhanced the employee's opportunity for growth and upward mobility within the County. Staff also indicated that the Staff Development Unit notifies employees of new course offerings by the Center for Government Excellence as well as other outside offerings.

Riverside County has established an order of priority for training based on a variety of factors including mandatory training and employee orientation for the job as well as

workplace safety. Some of the new employee orientation training courses are: customer service, diversity training, survival Spanish phase I, business writing, dealing with difficult people, beginning MS Word, beginning MS Outlook. Mandated training for employees consists of: New employee orientation, employee sexual harassment training, Americans with Disabilities Act Awareness Training, driver's training and employee violence in the work place. Supervisors and managers are provided with additional training in the disciplinary process, management sexual harassment training, Fair Employment Housing Act/Americans with Disabilities Act (FEHA/ADA), Family Medical Leave Act – FMLA, worker's compensation, driver's training, supervisor's violence in the workplace and supervisor's safety orientation.

In summary, Riverside County provides a training plan that will prepare employees for promotional opportunities and a tuition reimbursement program designed to provide employees the opportunity to continue their self-development. This is evident in the County's extensive investment in the Center for Government Excellence program and the variety of growth opportunity courses offered each year to employees in areas like supervision, management and organizational leadership.

Recommendation

Meets standards.

MERIT PRINCIPLE 4 – RETENTION OF PERMANENT EMPLOYEES

General Requirement - LAPS 17140

Employees shall be retained on the basis of the adequacy of their performance, and provision will be made for correcting inadequate performance and separating employees whose inadequate performance cannot be corrected.

Discussion

Merit Systems review staff found the systems to be composed of two processes for different departments. The majority of the County Departments use an electronic performance evaluation system and the Department of Public Social Services and Child Support Service utilize a paper evaluation system. The labor agreements we reviewed are silent regarding performance evaluations, however the forms reflect that six and 12 month performance evaluations are required. Per a County Representative, the County is considering requiring all evaluations due annually during a particular timeframe to ensure all evaluations are completed on a regular basis. Additionally, the County will require all Departments to utilize the electronic performance evaluation system. During the audit the County was in the process of developing and implementing a schedule to transition all departments. This system is user friendly and has some sophisticated tracking and tickler features. Department heads are required to report to Human Resources on evaluations that have not been completed. The involvement of Department Heads and the County Executive Officer should ensure that a high percentage of evaluations are completed timely.

Recommendation

Meets standards.

Separation and Layoff - LAPS 17141

Employees who have acquired permanent status will not be subject to separation except for cause or such reason as curtailment of work or lack of funds. Procedures will be established to provide for the transfer, demotion, or separation of employees whose performance continues to be inadequate after reasonable corrective efforts have been made to correct it. Retention of employees in classes affected by reduction-in-force shall be based upon systematic consideration of the type of appointment and other relevant factors.

Discussion

Permanent employees may be separated for cause in accordance with discipline procedures contained in MOU's with employee organizations. Progressive discipline practices are utilized to correct inadequate performance. (See also, Section 17153 Separation for Cause)

When it becomes necessary to reduce the work force in a department, the department head shall designate the job classification(s) to be affected, and the number of employees to be eliminated within the department. No regular employee shall be laid off in any job classification if there are temporary employees or seasonal employees in an active status in the same job classification within the department. Layoffs of

employees within each classification shall be based primarily on date of hire, with the least senior employees being laid off first. An employee may be laid off out of seniority when a less senior employee possesses essential skills necessary to the operation of the department, subject to approval of the Human Resources Director. The recognized employee organization shall be in receipt of the layoff notice 24 hours prior to the time affected employees are notified. The notice shall include the following: reason for layoff and effective date of action, if laid off out of seniority

The Department of Public Social Services and Child Support Services have not had any layoffs in the last five years. The rules regarding layoffs appear reasonable and straightforward with the exception of the rule regarding employees being laid off out of seniority pending approval of the Human Resources Director.

Comment [HR1]: Is this rule unreasonable or unclear?

Recommendation

Meets Standard.

Employee Evaluation - LAPS 17142

Local agencies should establish a systematic method of evaluating employee performance, which should influence such personnel management decisions as merit salary adjustments, need for training, and order of layoff.

Discussion

The County provides training to current and new supervisors and managers on an as needed basis regarding standardized performance evaluations. Additionally, the automated evaluation system (which all departments will be phasing to) provides guidance on job-related narratives.

Recommendation

Meets standards.

MERIT PRINCIPLE 5 – FAIR TREATMENT

General Requirement - LAPS 17150

Fair treatment of applicants and employees in all aspects of personnel administration will be assured, without discrimination and without regard to political affiliation, and with proper regard to their privacy and constitutional rights as citizens. This principle encompasses Equal Employment Opportunity, employee/management relations, and appeals.

Equal Employment Opportunity and Affirmative Action - LAPS 17151

Equal employment opportunity will exist in all aspects of employment and prohibits discrimination consistent with state and federal statutes.

- a). Equal opportunity shall exist in recruitment, examination, appointment, training, promotion, retention, discipline, or any other aspect of employment.

Discussion

Riverside County does have an EEO Plan located online; however, the data is not current. An updated EEO Plan is planned to be completed in early 2008 according to the County. Affirmative Action/EEO is in a quandary between California electorate and federal requirements. The County deals with this dilemma through focused recruiting, encouraging internal promotions.

Recommendation

The County is in general compliance. Despite the inconsistency between California law and the Federal Government, collecting EEO data on an annual basis would be very useful for Riverside County and having an updated EEO Plan will assist the County in identifying any underutilization for purposes of all aspects of employment.

- b). Prohibitions against discrimination consistent with the Civil Rights Act of 1964 as amended, the Rehabilitation Act of 1973 as amended, the Age Discrimination in Employment Act of 1967 as amended, the Equal Pay Act of 1963, and other relevant statutes will be established and enforced.

Discussion

Riverside County does have a harassment and complaint procedure which meets the requirements set forth in prohibiting against discrimination. As noted within the policy, "the purpose of this policy is to establish a strong commitment to prohibit and to prevent unlawful harassment in employment, and to set forth a procedure for investigating and resolving internal complaints of unlawful harassment." (See also, Section 17153 (b))

Recommendation

Meets standards.

- c). Equal employment opportunity programs shall be developed and implemented to include the following:
- (1) Removal of artificial barriers to equal employment opportunity.
 - (2) Assessment of the local agency's work force, including a comparison of the local agency's work force composition with the relevant labor force composition. Records of such assessments and comparisons shall be provided annually and at such other time as required to the State Personnel Board Executive Officer.
 - (3) Where there is statistically significant underutilization of any group based on race, ethnicity or gender as shown by the work force-labor force comparison, the local agency shall:
Develop and implement written recruitment plans which will ensure all-inclusive outreach and equal opportunity for all groups. Copies of such recruitment plans shall be made available, upon request, to the State Personnel Board Executive Officer.
Assess selection processes to ensure that they are based solely on job-related criteria and are free of illegal adverse impact as defined in the Uniform Guidelines on Employee Selection Procedures (Guidelines), incorporated in section 17112, against any group. Such assessments shall be conducted consistent with procedures outlined in the Guidelines. Where illegal adverse impact is found, the local agency shall identify the cause and take appropriate corrective action on a timely basis.
Comply with all equal opportunity requirements mandated by federal agencies as a condition for obtaining or maintaining federal funding of programs.

Discussion

The only reporting statistics compiled in Riverside County is the EEO-4 as required by Federal law. Currently, the County doesn't collect data nor make any assessment in the area of adverse impact in the selection process, underutilization of any groups based on race, ethnicity or gender. The County indicated they assess their local work force by attending career fairs and conducting focused recruiting; however, it is important to note that the County does have a Master Plan with EEO data; however, this data is not current as noted previously. An updated EEO Plan is to be completed by the early part of FY 2008 which will assist in evaluating, monitoring and tracking all levels of employment in all categories and occupational groups.

Recommendation

The County is in general compliance with the exception of not having a current EEO Plan for DPSS and CSS.

Employee/Management Relations - LAPS 17152

- a). Nothing in a local agency employee-management relation's agreement shall conflict with these Standards.

Discussion

Board of Supervisors has established an Employee Relations Resolution to set forth formal procedures to improve employee relation through union representation. The

Resolution establishes eleven (11) bargaining units. Service Employees International Union, Local 1995 AFL-CIO, CLU represent a supervisory unit, professional unit, paraprofessional unit and a registered nurse unit; all covered under a single Memorandum of Understanding (MOU) to June 30, 2009. Labors International Union of America (LIUNA) represents Eligibility Technicians and Office Assistance to 2010. Provision of the MOU are consistent with LAPS standards.

Recommendation

Meets standards.

- b). There shall be written procedures for resolving employee grievances and discrimination complaints. To the maximum extent possible, the procedures should include steps to resolve discrimination and all other types of employee grievances without recourse to formal appeals procedures.

Discussion

Memorandum of Understanding (MOU) with Service Employees International Union (SEIU), Local 1997, AFL-CIO and Labors International Union of America (LIUNA) have negotiated grievance procedures which provide that employees, following a discussion with the employees immediate supervisor, may file a written request or complaint concerning the application or interpretation of the specific terms and conditions set forth in the MOU's, Ordinance, rule, regulation, or policy concerning wages, hours, and other terms and conditions of employment. Complaints of Harassment and discrimination are filed within the County Harassment Policy and Complaint Procedure and the Discrimination Complain Procedure (Policy number C-25). (See Section 17153 (b) below).

Employees are entitled to representation in the preparation and presentation of the grievance at any step in the procedure. The procedure provides for discussion with the employees immediate supervisor and proceeds through a formal process including three (3) steps and ultimately, if not resolved at the lower levels, to Advisory Arbitration. Arbitration proceeding are conducted pursuant to the Voluntary Labor Arbitration Rules of the American Arbitration Association. The Board of Supervisors shall either accept or reject the neutral's decision, or accept part of the decision and reject the rest, without further testimony from either party. The decision of the Board of Supervisors is final.

Recommendation

Meets standards.

Appeals - LAPS 17153

Separation for Cause

- a). In the event of separation for cause or demotion for cause, local agencies will provide permanent employees in covered programs with the right to appeal through an impartial process that results in timely, enforceable decisions.

Discussion

Memorandum of Understanding (MOU) with Service Employees International Union (SEIU), Local 1997, AFL-CIO and Labors International Union of America (LIUNA) have negotiated discipline, dismissal and review procedures for permanent employees. Discipline is imposed only for "just cause" in accordance with acts of an employee as specified in the MOU. Following progressive discipline practices, a written notice of intent is provided to the affected employee of the discipline to be imposed. The employee may respond verbally or in writing. After considering the employee's response to the notice of intent, written notice is provided to advise the employee of the disciplinary action to be implemented, and advising the employee the right to appeal. Appeal procedures for minor and major discipline provide the decision to discipline may be appealed by the employee or union and be submitted to a neutral third party, i.e. formal arbitration. The decision of the neutral shall be final subject to the right of either party to seek judicial review under section 1280 of the California Code of Civil Procedure.

Exempt management, confidential, and other unrepresented employees are covered by resolution providing disciplinary, appeal, and review procedures. Process is similar to the process in the MOU.

The Board of Supervisors has adopted a Disciplinary Process Policy requiring Agency Managers, Department Heads and Supervisors to attend a Disciplinary Process training program within 90 days of appointment. A Disciplinary Process Manual for Managers and Supervisors is available and contains an excellent overview and training devise of the disciplinary process. The manual contains the philosophy of the county encouraging progressive disciplinary practices from counseling and coaching to imposing formal discipline; roles of managers, supervisors, human resource department, and unions; causes for discipline with positive practices to encourage productive behavior; and due process requirements when formal discipline is necessary.

Review of automated case files of discipline cases were reviewed. Files were easily accessible and contained computer documentation on line.

Recommendation

Meets standards.

Alleged Discrimination

- b). Local agencies will provide for appeals of alleged discrimination, by an applicant or employee, be heard through an impartial process that results in timely, enforceable decisions.

Discussion

A Discrimination and Complaint Procedure has been adopted by the Board of Supervisors and is contained in negotiated agreements to: ".....establish a strong commitment to prohibit and prevent unlawful discrimination in employment and to set forth a procedure for investigating and resolving internal complaints" of unlawful

discrimination. The procedure is accessible to employees and applicants who believe they have been adversely affected by illegal discrimination concerning any term or condition of employment such as hiring, promotion, leave of absence, termination, etc. Complaints of alleged illegal discrimination may be filed based on race, color, national origin, ancestry, religion, sex (including sexual orientation), age, physical disability (including HIV and AIDS), mental disability, medical condition, marital status or pregnancy, or the denial of the provisions of the federal Family & Medical Leave Act of 1993 (FLMA) or the California Family Rights Act of 1991 (CRFA).

A Harassment Policy and Complaint Procedure has also been adopted by the Board and contained in negotiated agreements to ... "establish a strong commitment to prohibit and prevent unlawful harassment in employment and to set forth a procedure for investigating and resolving internal complaints" of unlawful harassment. The policy applies to workplace behaviors by county employee's action on behalf of the County on or off the job site. Harassment has been defined to include speech, assault, visual insults, and unwanted sexual advances that create an intimidating, hostile, or offensive working environment.

Complaint processing is open and easily accessible. Complaints may be either oral or in writing with his/her immediate supervisor, department manager, Department Head or Human Resources representative. The initial step is to determine whether harassment or illegal discrimination did take place and to attempt to resolve the issue informally. If the issue cannot be resolved and/or it is determined that there is cause that constitutes illegal discrimination, the case is assigned to a Human Resource Investigator who is responsible to conduct the formal investigation and process the case to a conclusion. Complainants not satisfied with the results may file with Equal Employment Opportunity Commission (EEOC) or Department of Fair Employment and Housing (DFEH).

In practice, complaints undergo an evaluation to determine the nature of the complaint and whether it constitutes illegal harassment or discrimination. Subjective or minor complaints that may be corrected are referred to proper authority for resolution. If the evaluation determines that the issue cannot be resolved or that further facts need to be gathered, the complaint is assigned to an investigator who is responsible to process the case to its conclusion. According to Board of Supervisors Policy Discrimination Complaint Procedure orders: "The assigned investigator serves as a neutral third party in seeking the facts and attempting to determine whether illegal discrimination did take place. Consequently, the assigned investigator does not function as the advocate of the complainant nor of the County." We found nothing to indicate otherwise. In addition, complainants are represented by Union representatives.

A review of automated files and discussion with a Employee Relations Division Manager and union representatives suggests that the complaint process is open and results in timely and enforceable decisions. Assigned investigators are committed to resolving issues by bringing closure to cases to foster positive relations with employees and their unions. A review of time frames in which cases were resolved indicated

relatively short period in which cases remained open. Also, the small percentage of cases filed with Federal and State Agencies indicates that the County is addressing issues through internal administrative procedures. LAPS Auditors are not aware of any complaints or dissatisfaction with the cadre of investigators regularly assigned to cases. Union representatives did not express any dissatisfaction or complaints with the use of investigators and the processing of complaints. We are not aware of any objection to the individual investigators assigned by either the complainants or Unions.

By LAPS definition, (Section 17030 (g), Impartial process is defined as “A dispute resolution procedure wherein a decision is rendered by a group or individual acceptable of making an objective judgment free of favor or prejudice.....” Individuals selected by mutual agreement of the parties is acceptable. Current and past practices indicate mutual agreement by the County and the Unions. Because of regular assignment and follow through on each assigned case the “impartial process” test is met.

A review of cases filed from April, 2006 to August, 2007 revealed 618 cases filed in the Department of Public Social Services (DPSS) and Child Support Services (CSS). The DPSS cases are as follows:

Type of Case	Total Cases	Closed	Pending	
DFEH/EEOC	5	2	3	
Fitness for Duty	2	1	1	
Harassment/Discrimination	32	24	8	(C-25)
Job Abandonment	18	18	0	
Mini Arbitration	1	1	0	
Misconduct	230	219	11	
Misconduct WPV	22	20	2	
Performance	67	64	3	
<u>Pre discipline</u>	<u>221</u>	<u>221</u>	<u>0</u>	
Total Cases	598	570	28	

Cases filed in the Department of Child Support Services from April, 2006 to August, 2007 is as follows.

Type of Case	Total Cases	Closed	Pending	
Harassment/Discrimination	4	3	1	(C-25)
<u>Misconduct</u>	<u>16</u>	<u>13</u>	<u>3</u>	
Total Cases	20	16	4	

Recommendation
Meets standards.

Reduction in Force

- c). In the event of reduction in force, employees with permanent status shall have the right to appeal the application of reduction in force rules as they relate to the establishment of and

certification from layoff and re-employment lists. Such appeals shall go through an impartial process that may be recommendatory or enforceable on the appointing authority. This provision shall not be construed to provide for employee appeals of management rights to identify the classes of layoff, number of position to be reduced and effective date of the layoffs.

Discussion

Reduction in force, or layoff, is initiated by department heads by designating job classifications to be affected and the number of employees to be eliminated within the department. Layoff are based on seniority defined as the length of an employee's continuous service with the County, in a regular position, based on the most recent date of hire. Temporary employees and seasonal employees in an active status in the affected job classifications within the department are laid off first. An employee may be laid off out of seniority when a less senior employee possesses essential skills necessary to operation of the department subject to approval of Human Resources Director. Recognized employee organizations representing employees are provide a seniority list of affected classes showing previously held positions. Appeal of the application of rules may be appealed through the grievance procedure.

MOU provisions cover reassignment, employment counseling and referral, and reemployment. The Human Resources Department is required to provide SEIU each quarter a list of employees by department, classification, and date of hire.

Section 3.40.020 of personnel ordnance section of code provides for voluntary furlough. "Voluntary furlough may be granted to employees who desire to assist their department in coping with budgetary constraints; Covers management, confidential, and exempt units.

Recommendation

Meets standards.

**MERIT PRINCIPLE 6 -
POLITICAL RIGHTS AND PROHIBITIONS ADMINISTRATION**

Political Rights and Prohibitions - LAPS 17160

The provisions of the Federal Hatch Act and applicable State statutes will be followed. All employees will be informed of their political rights and prohibited practices under the Hatch Act and applicable state laws. This posting is most relevant during years when there are elections for federal office.

Discussion

County policy provides political activities in violation of federal or state law is prohibited.

- Prohibited activities:
 - be candidates for public office in a partisan election
 - use official authority or influence to interfere with or affect the results of an election or nomination
 - directly or indirectly coerce contributions from subordinates in support of a political party or candidate

Recommendation

Meets standards.

Employment Covered and Exempted from Standards - LAPS 17200

- a). These standards apply to personnel engaged in the administration of federally-aided programs which by law or regulation require a merit system of personnel administration that meets standards published by the United States Office of Personnel Management. These rules are applicable to all positions in such programs, irrespective of the source of funds for their individual salaries, except those exempted by this section.

Discussion

Members of Board of Supervisors, elected officials, and department heads are exempted from these standards.

Recommendation

Meets standards.

- b). The following positions may be exempted from application of these standards: Members of policy, advisory, review, and appeals boards or similar bodies who do not perform administrative duties as individuals; officials serving ex officio and performing incidental administrative duties; one confidential assistant or secretary to any of the foregoing exempted officials; attorneys serving as legal counsel or conducting litigation; the executive head of an independent local agency or department administering programs covered by these rules; deputies who share with executive head authority over all major

functions in covered local agencies or departments; time-limited positions established for the purpose of conducting a special study or investigation; and unskilled labor.

Discussion

County Executive Officer appoints and dismisses appointed department heads, except County Counsel, upon confirmation of Board of Supervisors of such appointment or dismissal.

Agency/Department Heads and Assistant Department Heads are at will employees.

Recommendation

Meets standards.

- c). County Welfare Directors and Deputy Directors who had permanent status in such classes on the date these regulations became effective shall continue to retain the rights of permanent status as long as they continue to occupy positions they held on the effective date of these regulations.

Discussion

Does not apply to current office holders.

Recommendation

Meets standards.

- d). Additional exemptions of positions must receive the prior approval of the State Personnel Board Executive Officer.

Discussion

Additional exemptions have not been requested.

Recommendation

Meets standards.

- e). Waivers from specific provisions of these regulations may be granted by the State Personnel Board Executive Officer, at the request of local agency, for time-limited experimental or research projects designed to improve merit systems or their operations. To the extent such a waiver also involves waiving provisions of the Federal Standards for Merit System of Personnel Administration, the State Personnel Board Executive Officer shall review the request and make a recommendation in the manner required by the United States Office of Personnel Management.

Discussion

Waivers have not been requested.

Recommendation

Meets standards.

Procedure for Establishing and Maintaining an Approved Merit System - LAPS 17210 (b)

Amendments to personnel plan material for an Approved Local Merit System and its continuing administration shall be subject to review on an ongoing basis by the State Personnel Board Executive Officer for conformity and compliance in operation. Materials requested by the State Personnel Board Executive Officer to determine conformity with these standards will be supplied by local agencies.

Discussion

The personnel staff and operating departmental staff interviewed were helpful and cooperative in providing information, files, and material to the audit team. Reports were generated from various logs and tracking databases on a requested basis.

Recommendation

Meets standards.

Requirement for Records and Reports - LAPS 17220

Appropriate records shall be maintained and available to permit determination by the State Personnel Board that a jurisdiction conforms to these requirements and its own rules and regulations. Decisions on selection, classification and certification require documentation.

Discussion

The County of Riverside conforms to the general requirements of maintaining appropriate records and files. Decisions as they pertain to selection, classification, discrimination complaints, and certification were available for review and documented.

Recommendation

Meets standards.