



SOLANO COUNTY GRAND JURY
2012-13

SOLANO COUNTY PERFORMANCE
EVALUATIONS

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I. SUMMARY

Solano County requires that employees receive performance evaluations on an annual basis. A Grand Jury investigation of personnel records maintained by the Department of Human Resources (HR) was conducted on March 19, 2013. A review of 93 randomly selected personnel files revealed the HR, Library, and Probation departments were in compliance with Section XII, Employee Performance Evaluation requirement of an annual review, while the Health & Human Services Department, Registrar of Voters Division and Sheriff's Office were not in compliance.

II. INTRODUCTION

As a result of past and current Grand Jury investigations, it was determined that individual employee performance evaluations were not in compliance with county policy. In response to this information, the Grand Jury elected to investigate the compliance with requirements for individual employee performance evaluations.

III. METHODOLOGY

- Interviewed Solano County Department of Human Resources staff members
- Reviewed the following:
 - Section XII Employee Performance Evaluation
 - Attorney Evaluation Form
 - Performance Appraisals for Management Level Employees
 - Human Resources Leadership Academy – Conducting Effective Employee Evaluations
 - Grand Jury 2011-2012 Registrar of Voters Report

IV. STATEMENT OF FACTS

Solano County requires that employees receive performance evaluations on an annual basis, in compliance with Section XII, Employee Performance Evaluation. A Grand Jury investigation of personnel records maintained by the Department of Human Resources (HR) was conducted on March 19, 2013. A review of 93 randomly selected personnel files revealed the Library, HR and Probation Departments were within the county requirement while the Health & Human Services Department, Sheriff’s Office and Registrar of Voters Division were not in compliance. See *Figure 1*. This is the second year the Grand Jury has found the Registrar of Voters Division has not been in compliance with county policy and procedures regarding performance evaluations.

The current Grand Jury’s review of the 2011-2012 Grand Jury’s Registrar of Voters Report revealed the frequency of performance evaluations previously noted has not been rectified as indicated during an interview of the HR staff on January 23, 2013.

During an interview with the HR staff, the Grand Jury was informed that individual performance evaluations are the responsibility of the employee’s department/division/office head. It was further determined that these department/division/office heads are responsible to ensure that the evaluations are forwarded to HR for inclusion in the individual personnel files. The Grand Jury found many individual personnel files were missing annual performance evaluations. However, there is currently no mechanism available to ensure compliance. The Grand Jury was informed that upgrades will be made to the HR current software program to track performance evaluations.

The lack of timely employee performance evaluations diminishes the ability of an individual department to recognize and encourage good performance, or discipline/terminate an employee for poor performance.

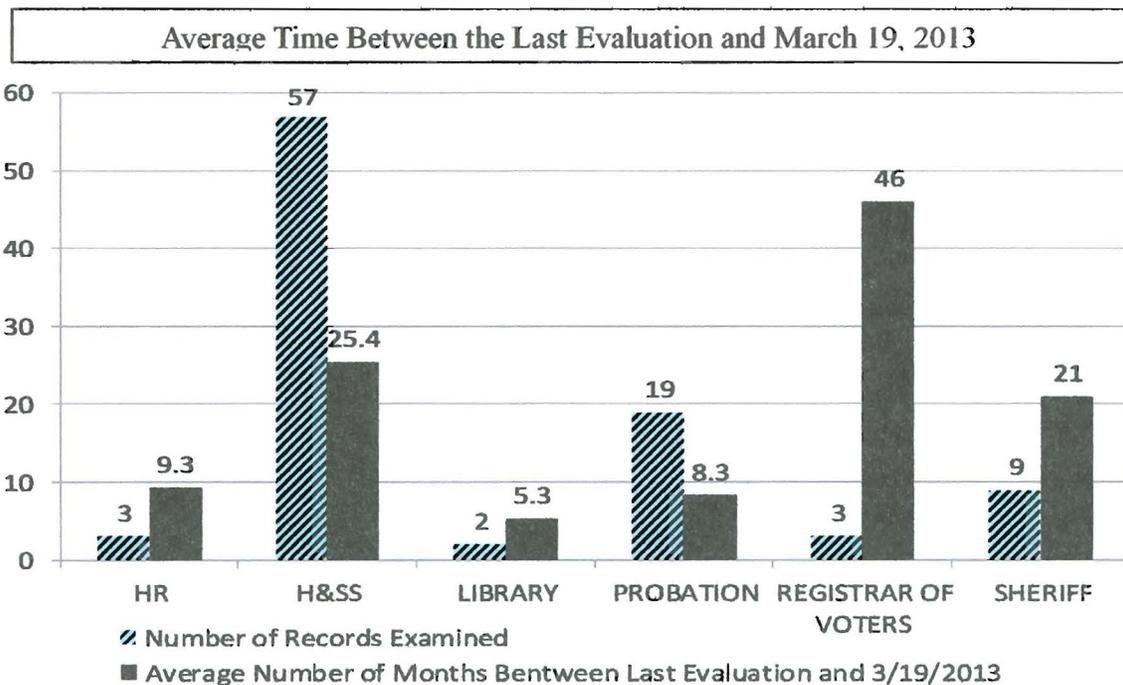


FIGURE 1

V. FINDINGS AND RECOMMENDATIONS

Finding 1 – The average length of time for the annual performance evaluations of those files that were examined for the Registrar of Voters Division between the last evaluation contained in the personnel file and the date of review was 46 months.

Recommendation 1 – Registrar of Voters Division ensure that all staff receive performance evaluations annually as required by county policy and procedures and forwarded to the Department of Human Resources for inclusion in the individual personnel file.

Finding 2 – The average length of time for the annual performance evaluations of those files that were examined for the Health and Human Services Department between the last evaluation contained in the personnel file and the date of review was 25.4 months

Recommendation 2 – Health and Human Services Department ensure that all staff receive performance evaluations annually as required by county policy and procedures and forwarded to the Department of Human Resources for inclusion in the individual personnel file.

Finding 3 – The average length of time for the annual performance evaluations of those files that were examined for the Sheriff’s Office between the last evaluation contained in the personnel file and the date of review was 21 months.

Recommendation 3 – Sheriff’s Office ensure that all staff receive performance evaluations annually as required by county policy and procedures and forwarded to the Department of Human Resources for inclusion in the individual personnel file.

Finding 4 – As a result of the random review of personnel files, it was found many individual personnel records were missing annual performance evaluations failing to comply with county policy and procedures.

Recommendation 4 –Solano County departments ensure all personnel evaluations comply with county policy and procedures and are forwarded to the Department of Human Resources, in a timely manner, for inclusion in the individual personnel files.

Finding 5 – The Department of Human Resources does not have any mechanism to ensure all Solano County employees receive performance evaluations in compliance with county policy and procedures.

Recommendation 5 – The Department of Human Resources’ current automated system be upgraded to provide the capability to track personnel performance evaluations to ensure compliance with Solano County policy and procedures.

COMMENTS

Timely annual evaluations can instill pride, dedication and increase morale of employees. Evaluations can also identify improvement goals for employees performing at minimal or less than minimal levels of job performance.

REQUIRED RESPONSES

Solano County Registrar of Voters (Finding 1)
Solano County Director, Department of Health and Social Services (Finding 2)
Solano County Sheriff/Coroner (Finding 3)
Solano County Director, Department of Human Resources (Finding 5)
Solano County Board of Supervisors (Findings 1-5)
Solano County Administrator (Finding 4 and 5)

COURTESY COPIES

Solano County Director of Library Services
Solano County Chief Probation Officer