



# County of Fresno

INTERNAL SERVICES DEPARTMENT  
ROBERT W. BASH, DIRECTOR – CIO

Facility Services • Fleet Services • Graphics  
Information Technology • Purchasing  
Security • Telecommunications

August 23, 2017

The Honorable Kimberly Gaab, Presiding Judge  
Fresno County Superior Court  
1100 Van Ness Avenue  
Fresno, CA 93724-0002

Re: Response to the 2016-17 Fresno County Grand Jury Report No. 4

Dear Judge Gaab:

The Grand Jury's report reflects findings and recommendations regarding the Facility Services Division (FSD). The Internal Services Department (ISD) thanks the Grand Jury for their diligence and includes the responses to the findings and recommendations below:

## **Findings:**

F6. The grand jury commends FSD on the planned implementation of FAMIS. The program provides user-friendly access to status of invoices and projects, along with supporting data for all goods and services, which better meet FSD's goals of transparency and accountability. The grand jury anticipates FAMIS may help prioritize routine and deferred maintenance needs.

F6: ISD agrees with the finding.

F7. Rates can only be fully validated in the rate studies when the Auditor reviews the supporting documentation. There appears to be disparity in whether FSD must provide the supporting documentation or whether the Auditor should independently access the supporting documentation. The communication between FSD and the Auditor's office appears to be improving and may independently address this issue.

F7: ISD disagrees partially with the finding; much of the supporting documentation is technical in nature and ISD input is necessary for proper rate building and review. The supporting documentation is provided to the Auditor's Office. The communication between ISD and the Auditor's Office has improved.

- F8. Unresolved concerns regarding how supporting documentation must be supplied to the Auditor's office do not allow for complete rate study. This rate study review is required by county, state, and federal guidelines.

F8: ISD disagrees partially with the finding; the supporting documentation is provided to the Auditor's Office as requested. A consistent process for rate review is necessary. Much of the supporting documentation is technical in nature and ISD input is necessary for proper rate building and review.

- F9. FSD has failed to prepare mid-year reviews. Mid-year reviews are necessary to determine whether material or immaterial rates are present and if changes are necessary to prevent negative or positive annual balances.

F9: ISD disagrees partially with the finding as ISD conducts reviews on a quarterly basis. Involvement at some level of the Auditor's Office will solidify this process from a reporting requirement standpoint.

- F10. The rate calculation sheet is insufficient as used to provide explanations to user departments regarding rates and charges and has failed to provide access to the rate building process, which is inherent to transparency and accountability. The grand jury is of the opinion that flowcharts and/or spreadsheets along with supporting documentation will assist user departments' understanding.

F10: ISD agrees partially with the finding. ISD will hold rate building training and make it available to user departments.

- F11. FSD has failed to regularly schedule meetings with user departments to aid in the understanding of charges and invoicing. FSD's regular meetings with user departments encourages openness and accessibility, which fosters better management of FSD.

F11: ISD disagrees partially with the finding; regular meetings are scheduled but not specifically limited to charges and invoicing. These topics are typically handled separately and contemporaneously and should not wait for a future preset meeting.

- F12. FSD continues to train lower-level staff to provide user departments with additional information to provide another layer of training to user departments and which may reduce user departments' concerns regarding rates, costs, and invoicing.

F12: ISD agrees with the finding.

- F13. Failure to publish additional rates and charges on the MSF prohibits effective planning by user departments for anticipated projects.

F13: ISD disagrees with the finding; currently the MSF includes all appropriate fees for the County of Fresno structure. Other pass through costs can be more clearly defined and communicated but are not appropriate for inclusion on the MSF.

- F14. FSD does not receive sufficient and regular allocations of deferred maintenance funds. Lack of deferred maintenance funds fails to protect the lifecycle of county property, which in turn impacts FSD's multi-year budget planning.

F14: ISD disagrees partially with the finding. Additional deferred maintenance funding is needed and will be included in future budgets either within the current rate structure or through a capital replacement request at such time that reliable data is available through FAMIS and associated systems.

- F15. The turnover and absence of facility managers has led to difficulty with cohesiveness of operations, proper delivery of goods and services, and communication with user departments.

F15: ISD agrees with the finding.

- F16. Circumventing FSD is not a widespread problem. When it does happen, failure to follow policy appears to lead to morale issues with FSD, along with potential liability to persons and property, and from the possible filing of union grievances.

F16: ISD agrees with the finding.

- F17. Failure by FSD personnel to properly complete the Facility Services Request forms can lead to confusion by giving the impression of duplicated surcharges.

F17: ISD disagrees partially with the finding as the form itself does not reflect current processes and therefore can lend itself to confusion.

**Recommendations:**

- R1. Implement FAMIS and train all staff and user departments by November 30, 2017.

R1: Recommendation has not yet been implemented, but will be implemented; FAMIS will go live with some functions in August 2017

- R2. Provide clear policies and directives to FSD and Auditor's office regarding the rate study process outlining how supporting documentation is made fully accessible to the Auditor's office for rate studies by November 30, 2017.

R2: Recommendation has not yet been implemented, but will be implemented in with the next rate review process for FY 2018-19 FSD rates.

- R3. FSD must refer any unresolved concerns between FSD and the Auditor's office to the CAO and/or Board of Supervisors.

R3: Recommendation has been implemented; ISD will escalate unresolved issues should they arise to the appropriate venue; however, these situations are rare.

- R4. Complete mid-year financial condition reviews in a timely and complete manner to comply with all county, state and federal requirements.
- R4: Recommendation has not yet been implemented, but will be implemented in the future discussions have already ensued to include the Auditor's Office requirements within the ISD FY 2017-18 second quarter review.
- R5. Create a standardized form for mid-year financial condition reviews for ISF by November 30, 2017.
- R5: Recommendation has not yet been implemented, but will be implemented in the future; discussions have already ensued to include the Auditor's Office requirements within the ISD FY 2017-18 second quarter review.
- R6. Create and disperse additional flowcharts and/or spreadsheets to user departments to support the rate sheet data and train user departments to better understand rates and charges.
- R6: Recommendation has not yet been implemented, but will be implemented in the future; ISD will hold rate building training and make it available to user departments. ISD will also conduct in depth training sessions with the Auditor's Office staff as a part of the rate review process for FY 2018-19 FSD rates.
- R7. User departments need to be encouraged to regularly access supporting documentation.
- R7: Recommendation has been implemented; supporting documentation is provided. The FAMIS system will also provide improved access to supporting documentation.
- R8. Schedule regular meetings with user departments to discuss costs and concerns regarding invoicing.
- R8: Recommendation has been implemented; regular meetings occur with user departments.
- R9. Continue to train lower-level FSD staff to provide user departments with additional information to provide additional training to user departments, and address concerns regarding rates, costs, and invoicing.
- R9: Recommendation has been implemented; internal rate building training continues.
- R10. Adopt and include on the MSF all charges listed on the Facility Service Request (Work Order) Form by November 30, 2017.
- R10: Recommendation will not be implemented; the MSF includes all appropriate fees for the County of Fresno structure.

R11. Create and propose to the Board of Supervisors a five-year plan for deferred maintenance budget allocation by September 30, 2018.

R11: Recommendation has not yet been implemented, but will be implemented in the future; at such time that reliable data is available post-implementation of FAMIS and associated systems.

R12. Evaluate the need for an assistant position to the Facility Manager to aid in retention of the Facility Manager.

R12: Recommendation will be implemented; as some structural changes have been made, ISD will work with the Department of Human Resources to re-evaluate the FSD structure.

R13. Provide additional training for elected officials and appointed department heads on existing county policy for use of FSD services. The CAO and/or Board of Supervisors should supplement the existing county policy to address any personnel circumventing FSD.

R13: Recommendation will be implemented; County Administrative Office Management Directives are in the process of being updated and promulgated.

R14. Train FSD staff to properly complete the Facility Service Request Form.

R14: Recommendation has been implemented; concerns raised by the Grand Jury have been addressed with staff, workflow charting continues with the implementation of FAMIS, and appropriate forms/formatting will follow.

R15. Revise the Facility Service Request Form to provide clarity and disclose all categories of charges by November 30, 2017. Until the form is revised, all FSD staff should properly complete the existing form including the table section.

R15: Recommendation has not yet been implemented, but will be implemented in the future, workflow charting continues with the implementation of FAMIS and appropriate forms/formatting will follow.

This concludes the Internal Services Department's comments on the findings and recommendations of the 2016-17 Grand Jury Report No. 4.

Sincerely,



Robert W. Bash  
Director of Internal Services - Chief Information Officer

cc: Board of Supervisors  
Sonia M. De La Rosa, CAO's Office



# County of Fresno

COUNTY ADMINISTRATIVE OFFICE

**JEAN M. ROUSSEAU**

COUNTY ADMINISTRATIVE OFFICER

August 21, 2017

The Honorable Kimberly Gaab, Presiding Judge  
Fresno County Superior Court  
1100 Van Ness Avenue  
Fresno, CA 93724-0002

Re: Response to the 2016-17 Fresno County Grand Jury Report No. 4

Dear Judge Gaab:

The Grand Jury's report reflects findings and recommendations regarding the Facility Services Division (FSD). The County Administrative Office (CAO) thanks the Grand Jury for their diligence and includes the responses to the findings and recommendations below:

## **Findings:**

F7. Rates can only be fully validated in the rate studies when the Auditor reviews the supporting documentation. There appears to be disparity in whether FSD must provide the supporting documentation or whether the Auditor should independently access the supporting documentation. The communication between FSD and the Auditor's office appears to be improving and may independently address this issue.

F7: The CAO agrees with the finding. The Auditor-Controller/Treasurer-Tax Collector (Auditor's Office) and the Internal Services Department (ISD) – FSD are committed to working together to ensure the appropriate supporting documentation is available for review.

F8. Unresolved concerns regarding how supporting documentation must be supplied to the Auditor's office do not allow for complete rate study. This rate study review is required by county, state, and federal guidelines.

F8: The CAO disagrees partially with the finding; prior concerns regarding the supply of supporting documentation have been addressed and recent reviews have improved. The Auditor's Office and FSD will continue to work together to resolve issues as they arise.

F9. FSD has failed to prepare mid-year reviews. Mid-year reviews are necessary to determine whether material or immaterial rates are present and if changes are necessary to prevent negative or positive annual balances.

F9: The CAO agrees with the finding. The Auditor's Office and FSD will confirm the midyear review process and consider any necessary changes during the following year's rate development.

- F13. Failure to publish additional rates and charges on the MSF prohibits effective planning by user departments for anticipated projects.

F13: The CAO disagrees wholly with the finding; all appropriate rates are included in the MSF as approved by the Board of Supervisors.

- F14. FSD does not receive sufficient and regular allocations of deferred maintenance funds. Lack of deferred maintenance funds fails to protect the lifecycle of county property, which in turn impacts FSD's multi-year budget planning.

F14: The CAO disagrees partially with the finding. While funding outside of the approved rate structure has been, and may continue to be necessary in the near future, the rate structure should include a component for establishing replacement reserves for facilities and infrastructure systems.

- F15. The turnover and absence of facility managers has led to difficulty with cohesiveness of operations, proper delivery of goods and services, and communication with user departments.

F15: The CAO agrees with the finding.

- F16. Circumventing FSD is not a widespread problem. When it does happen, failure to follow policy appears to lead to morale issues with FSD, along with potential liability to persons and property, and from the possible filing of union grievances.

F16: The CAO agrees with the finding.

**Recommendations:**

- R2. Provide clear policies and directives to FSD and Auditor's office regarding the rate study process outlining how supporting documentation is made fully accessible to the Auditor's office for rate studies by November 30, 2017.

R2: Recommendation has not yet been implemented, but will be implemented in the rate review and development process for FY 2018-19 FSD rates.

- R3. FSD must refer any unresolved concerns between FSD and the Auditor's office to the CAO and/or Board of Supervisors.

R3: Recommendation has been implemented; ISD will escalate unresolved issues to the appropriate venue.

R4. Complete mid-year financial condition reviews in a timely and complete manner to comply with all county, state and federal requirements.

R4: Recommendation has not yet been implemented, but will be implemented in the future; the Auditor's Office and ISD have begun discussions and anticipate inclusion of the Auditor's Office requirements in the FY 2017-18 second quarter review.

R10. Adopt and include on the MSF all charges listed on the Facility Service Request (Work Order) Form by November 30, 2017.

R10: Recommendation will not be implemented; all relevant rates chargeable to parties outside the County are approved by the Board of Supervisors and included in the MSF.

R11. Create and propose to the Board of Supervisors a five-year plan for deferred maintenance budget allocation by September 30, 2018.

R11: Recommendation has not yet been implemented, but will be implemented in the future; FAMIS will allow for data that will enable FSD to provide the five-year plan.

R12. Evaluate the need for an assistant position to the Facility Manager to aid in retention of the Facility Manager.

R12: Recommendation will be implemented; ISD will work with the Department of Human Resources regarding the FSDs organization.

R13. Provide additional training for elected officials and appointed department heads on existing county policy for use of FSD services. The CAO and/or Board of Supervisors should supplement the existing county policy to address any personnel circumventing FSD.

R13: Recommendation will be implemented; the County Administrative Office Management Directives are being updated and will be redistributed to departments.

This concludes the County Administrative Office's responses to the findings and recommendations of the 2016-17 Grand Jury Report No. 4.

Sincerely,



Jean M. Rousseau  
County Administrative Officer

cc: Board of Supervisors  
Sonia M. De La Rosa, Principal Administrative Analyst, County Administrative Office



# County of Fresno

Oscar J. Garcia, CPA

Auditor-Controller/Treasurer-Tax Collector

August 10, 2017

The Honorable Kimberly Gaab, Presiding Judge  
Fresno County Superior Court  
1100 Van Ness Avenue  
Fresno, CA 93724-0002

Re: Response to the 2016-17 Fresno County Grand Jury Report No. 4

Dear Judge Gaab:

The Grand Jury's report reflects findings and recommendations regarding the Facility Services Division. The Fresno County Auditor-Controller/Treasurer-Tax Collector thanks the Grand Jury for their diligence and includes the responses to the findings and recommendations below:

### **Findings:**

F7. Rates can only be fully validated in the rate studies when the Auditor reviews the supporting documentation. There appears to be disparity in whether FSD must provide the supporting documentation or whether the Auditor should independently access the supporting documentation. The communication between FSD and the Auditor's office appears to be improving and may independently address this issue.

F7: The Auditor-Controller/Treasurer-Tax Collector (Auditor's Office) agrees with the finding. The Auditor's Office and FSD will work together to determine how best to share and review the data, whether the supporting documentation is provided or made available through remote access.

F8. Unresolved concerns regarding how supporting documentation must be supplied to the Auditor's office do not allow for complete rate study. This rate study review is required by county, state, and federal guidelines.

F8: The Auditor's Office disagrees partially with the finding; although there may have been some misunderstanding and/or difficulties in the past, recent reviews have improved and the Auditor's Office and FSD have worked diligently to resolve all issues.

F9. FSD has failed to prepare mid-year reviews. Mid-year reviews are necessary to determine whether material or immaterial rates are present and if changes are necessary to prevent negative or positive annual balances.

F9: The Auditor's Office agrees with the finding. The Auditor's Office and FSD have worked to solidify the mid-year review process and provide documented mid-year reviews annually as part of the rate review process.

F13. Failure to publish additional rates and charges on the MSF prohibits effective planning by user departments for anticipated projects.

F13: The Auditor's Office disagrees with the finding. Currently all relevant rates that may be charged to parties outside the County are approved by the Board of Supervisors and included on the MSF, as required.

### **Recommendations:**

R2. Provide clear policies and directives to FSD and Auditor's office regarding the rate study process outlining how supporting documentation is made fully accessible to the Auditor's office for rate studies by November 30, 2017.

R2: Recommendation has not yet been implemented, but will be implemented in conjunction with the rate development and review process for FY 2018-19 FSD rates.

R3. FSD must refer any unresolved concerns between FSD and the Auditor's office to the CAO and/or Board of Supervisors.

R3: Recommendation has been implemented; currently any unresolved issues are taken to the Audit Committee, which is comprised of two Board of Supervisor members, the CAO, County Counsel, and a position appointed by the CAO.

R4. Complete mid-year financial condition reviews in a timely and complete manner to comply with all county, state and federal requirements.

R4: Recommendation has not yet been implemented, but will be implemented in the future; a form and manner of submission have been agreed to by the Auditor's Office and FSD.

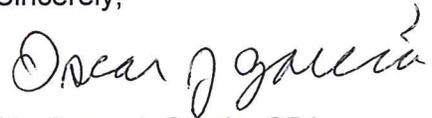
R10. Adopt and include on the MSF all charges listed on the Facility Service Request (Work Order) Form by November 30, 2017.

R10: Recommendation will not be implemented; currently all relevant rates that may be charged to parties outside the County are approved by the Board of Supervisors and included on the MSF, as required..

August 10, 2017  
The Honorable Kimberly Gaab, Presiding Judge  
Fresno County Superior Court  
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This concludes the Fresno County Auditor-Controller/Treasurer-Tax Collector's comments on the findings and recommendations of the 2016-17 Grand Jury Report No. 4.

Sincerely,

A handwritten signature in black ink that reads "Oscar J. Garcia". The signature is written in a cursive style with a large initial "O".

Mr. Oscar J. Garcia, CPA  
Fresno County Auditor-Controller/Treasurer-Tax Collector

cc: Board of Supervisors  
Sonia M. De La Rosa, CAO's Office