The Sutter County
Board of Supervisors’ Response to the

2014-2015

Sutter County Grand Jury
Final Report

ENDORSED FILED
SEP 30 2015

SUTTER COUNTY
CALIFORNIA

Ronald Sullenger District No. 1
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RECEIVED
SEP 30 2015
September 29, 2015

The Honorable Brian R. Aronson
Presiding Judge of the Sutter County Superior Court
466 Second Street
Yuba City, CA 95991

Dear Judge Aronson:

On behalf of the Sutter County Board of Supervisors, I am herewith submitting its response to the findings and recommendations of the 2014-2015 Grand Jury.

Although the response is, at times, critical of some of the Grand Jury’s report, I do want to emphasize that the Board of Supervisors appreciates the dedicated efforts of the 2014-2015 Grand Jury in the preparation of its report, and wholeheartedly thanks the Grand Jury for their time and effort. We trust that you will find the enclosed material responsive.

I would be happy to meet with the Grand Jury to discuss any or all of these issues.

Sincerely,

[Signature]

JAMES M. ARKENS
COUNTY ADMINISTRATIVE OFFICER
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Fire and Emergency Committee: Oswald Tudor Fire Station

FINDING

Grand Jury Finding #1:

"F1: The southernmost building is in disrepair and is unable to properly house the equipment. Staff is unable to adequately secure the building. There are two fire engines that extend beyond the structure itself."

Response from the Board of Supervisors:

The Board of Supervisors agrees with the finding.

RECOMMENDATION

Grand Jury Recommendation #1:

"R1: The SCGJ recommends they request budget for a new structure. The SCGJ further recommends that they be granted the budget to replace the structure."

Response from the Board of Supervisors:

The Board of Supervisors agrees with the Grand Jury’s recommendation; however, implementation of the recommendation requires further analysis. The County is exploring alternatives for providing for the long-term funding requirements of this Fire District. The recommendation will be implemented as funding allows.

The Sutter County Fire Services Manager reports directly to the Director of the Development Services Department. The Development Services Director and Fire Services Manager have provided a response to this Grand Jury report. The Board of Supervisors supports the response, and has included the response in this document as Attachment A.
Sutter County District Attorney

FINDINGS

Grand Jury Finding #1:

"F1: The Sutter County District Attorney's office has a history of scandal, misappropriation of funds and misuse of power. As a result, the county has had to return grant money, pay an out of court settlement because of a poor working environment, misused funds and made headlines for misbehavior."

Grand Jury Finding #2:

"F2: The County cannot afford a dysfunctional District Attorney's office, especially with a workload of nearly one hundred new cases per week and the passage of Proposition 47 which has increased the office's workload by reopening many old cases in order to reduce felonies to misdemeanors."

Response from the Board of Supervisors:

The two findings pertain to the management of the Sutter County District Attorney's Office, which is the responsibility of an elected Department Head. As such, the Sutter County District Attorney has responded to the two findings. For elected Department Heads, the Board of Supervisors is responsible for responding to findings and recommendations that affect the personnel allocation and budget of the department(s).

It should be noted; however, that the former District Attorney had been in office for 31 years, and the office had a strong, positive history of management and performance. The Board of Supervisors agrees that relatively recently the County had to return grant money, and agrees that the County entered into a settlement over employment conditions for a former employee. There was one incident of a former employee using grant funds to pay for activities that were not covered by the grant, and a portion of those grant funds were required to be returned. There are no other known instances of the "misappropriation of funds" or "misused funds" and the Grand Jury has not provided any further specifics to support the claim that there have been.

RECOMMENDATIONS

Grand Jury Recommendation #1:

"R1: The SCGJ recommends that the Auditor/Controller be allocated the necessary resources to conduct an internal audit of the District Attorney's office at the request of the District Attorney."

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Grand Jury Recommendation #2:

"R2: In view of the fact that the District Attorney’s office derives funding from grants from various agencies which are to be used for specific purposes, the SCGJ recommends that the District Attorney be provided the resources to employ a full time accountant."

Grand Jury Recommendation #3:

"R3: With the passage of Proposition 47, the District Attorney’s workload has increased tremendously. So much so, that the District Attorney has dedicated one deputy District Attorney to primarily handle these cases. This has shifted that person’s workload onto the remaining attorneys. The SCGJ recommends that an additional attorney be hired to handle the increased workload."

Grand Jury Recommendation #4:

"R4: In view of the nature of the Victim/Witness Assistance Program and its primary objective which is to protect victims and witnesses, the District Attorney’s office may not be the best agency to manage the program. There is the potential for a conflict of interest where the District Attorney is sworn to prosecute to the full extent of the law, and this may not be in the best interest of the victim or witness. The SCGJ [sic], therefore, recommends that this program be overseen by another agency, e.g., the Probation Department or Health and Welfare."

Response from the Board of Supervisors:

Recommendation #1, the recommendation to conduct an internal audit of the District Attorney’s office, has not yet been implemented, but will be implemented within the next nine months.

The recommendation to allocate resources to the Auditor-Controller is a budgetary and personnel matter affecting the office of an elected department head. This recommendation will not be implemented in this fiscal year due to funding constraints. The recommendation will require further analysis for possible implementation in future years.

The Board of Supervisors agrees that an audit of the District Attorney’s office should be conducted. However, it should be noted that prior to this report the District Attorney had not made a request of the Board or the County Administrative Officer for such an audit to be conducted. The County Administrative Officer will be recommending that the Board of Supervisors re-establish the Management Audit Ad Hoc Committee and that funding for an audit of the department be funded. It is anticipated that this recommendation will be considered by the Board of Supervisors within the next three months. This recommendation is discussed further under the Internal Auditor section of this report.
Recommendation #2, the recommendation to employ a full-time accountant, has been implemented. The District Attorney’s office has had a full-time Accountant position allocated to the Department. That position had been left vacant by the District Attorney, and filled on a part-time, temporary basis with Extra Help. Effective July 1, 2015, with the approval of the Recommended Budget for FY 2015-16, the Board of Supervisors approved upgrading that position to a Staff Analyst (a higher, management-level position). The District Attorney has since filled that higher-level position on a regular, permanent basis.

Recommendation #3, the recommendation to allocate resources to the District Attorney’s office, is a budgetary and personnel matter affecting the office of an elected department head. This recommendation will not be implemented in this fiscal year due to funding constraints. The recommendation will require further analysis for possible implementation in future years.

Recommendation #4, regarding the transfer of the Victim/Witness Program to a different County department, requires further analysis to determine the feasibility of implementation. This analysis will be completed within the next six months.

The Sutter County District Attorney and Sutter County Auditor-Controller are independently elected officials and, as such, respond directly to the Grand Jury’s findings and recommendations concerning their respective offices. Copies of the two responses are included in this document as Attachments B and C.
Sutter County Human Services: Modular Buildings

FINDINGS

Grand Jury Finding #1:

"F1: Sutter County has spent the following on the leases for the modulars:

<table>
<thead>
<tr>
<th>Period</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001 to 2004</td>
<td>$284,400</td>
</tr>
<tr>
<td>2004 to 2008</td>
<td>$366,000</td>
</tr>
<tr>
<td>2008 to 2013</td>
<td>$457,500</td>
</tr>
<tr>
<td>2013 to present</td>
<td>$192,924</td>
</tr>
<tr>
<td>Total Lease Payments</td>
<td>$1,300,824</td>
</tr>
</tbody>
</table>

Grand Jury Finding #2:

"F2: If the county had taken the buy-out option offered on the 2008-2013 lease of $437,295, the County would have saved $213,129 to date."

Grand Jury Finding #3:

"F3: The county [sic] is not adhering to the lease agreement which states that the County is to maintain the modulars in good repair and operating conditions until the Return Date."

Grand Jury Finding #4:

"F4: The conditions of the modulars were found to be beyond normal wear and tear. The carpeting in the main traffic areas is worn down to the rubber backing material to the point where the backing is exposed. The offices were not available for inspection. The air quality inside the modulars was found to be of very poor quality. The air smelled musty and stale. The exteriors of the modulars have not been maintained. There are areas of dry rot because the painting has not been properly maintained. There are areas where there is no paint on the wood. The wood is not protected from the elements."

Response from the Board of Supervisors:

The Board of Supervisors agrees with Finding #1.

The Board of Supervisors agrees with Finding #2.

The Board of Supervisors disagrees in part with Finding #3.
The Board of Supervisors agrees with Finding #4.

The County has leased 16 modular buildings, providing a total of approximately 12,000 square feet of office space, at 1965 Live Oak Boulevard since October 1, 2001. The modular buildings provide necessary office space to programs of the Mental Health and Welfare/Social Services Divisions of the Human Services Department - - two of the County’s largest divisions - - as existing County facilities are not large enough to house all required programs of the two Divisions. The cost for these programs is recouped from State and federal funding sources.

In short, the lease for the modular buildings has renewed at regular intervals because there has been no viable alternative to house the staff currently located in the buildings. At the time that the lease for the modular buildings was entered, the County’s facility plan included the design and construction of a new Human Services Building at the 1965 Live Oak location. The cost of the new building was estimated at approximately $11 million in 2003. The modular buildings were to be leased on a temporary basis, while the new building was designed and constructed. The building was successfully designed. However, the County continued to encounter funding constraints along with quickly accelerating construction costs due to the robust building and real estate market in California. In 2007, the County reported that work to secure affordable financing and to ensure adequate financial participation from the State would be a major focus during FY2007-08. The anticipated cost of the building by that time had increased to $20 million. By 2008, the County had to abandon its plan to construct the new Human Services Building that had originally been contemplated, due to the lack of committed State funds and affordable financing, and staff began exploring alternative means of providing for the facility needs of the Human Services divisions.

At each lease renewal date, staff then in office had anticipated that the modular buildings would continue to be simply a temporary fix for accommodating County functions - - under 5 years. The last time that the lease was renewed, in March of 2013, the Human Services Director had requested that the lease be extended on a month-to-month basis while other alternatives were considered. The County has been actively evaluating opportunities and options for alternate office space, whether that be through purchasing a different office building, purchasing and remodeling an existing space in town, or constructing a new building on land to be purchased.

Regarding the condition of the modular building, the County is not responsible for all repairs and maintenance for the modular buildings. The lessor is responsible for:

1. Repairs to the shell of the buildings as long as it is not damaged by the County or public, we are responsible for painting
2. Service/maintenance and repairs to HVAC; preventative maintenance required once per year (County replaces filters every 4 months and checks operation)
3. Glazing, roofs
4. All floor coverings
5. Plumbing other than clogged toilets
6. All electrical except for light bulbs
When the County negotiated the last extension to the lease, County representatives requested that the lessor replace the carpet, make repairs to the exterior shell, and fix soft spots in the sub-floor sheathing. The lessor declined to do so as the lease extension was only for a year, and they could not justify the expense for what has been expected to be a short period of time.

The County does perform a number of repairs in an effort to keep the modular buildings in working condition. However, with the expectation having been that the modular buildings would be replaced with permanent space, the County continues to believe that performing significant repairs to the buildings would not be a wise use of public funds. For example, to replace carpet within the building would generate a significant expense, as the work would not only include the cost of the replacement carpet, but would also require disassembling and then reassembling all of the modular furniture, storage of all other furniture, relocating staff during that time, and a major disruption of service to clientele. Additionally, while the exterior of the buildings could be painted by the County, exterior repairs would need to first be made by the lessor. The County feels that the exterior repairs should not be made by the County and this should not become a County cost.

It should be clarified, in response to Finding #2, that had the County taken the buy-out option, the County would have incurred additional expenses for maintenance and repairs, which are currently the responsibility of the lessor, as well as disposal of the units once no longer in use. Therefore, the total “savings” that the county would have experienced over the period of time would be reduced by any costs incurred. Other considerations include the allowable reimbursement from State and Federal programs - - if the County had purchased the building rather than lease, the County would only be able to recoup its purchase cost over 50 years, whereas existing Federal regulations allow for full lease costs to be reimbursed at the time the payments are made.

**RECOMMENDATIONS**

**Grand Jury Recommendation #1:**

"R1: The SCGJ recommends that the lease be terminated as soon as possible."

**Grand Jury Recommendation #2:**

"R2: New space should be procured to replace the modulars as soon as possible."

**Response from the Board of Supervisors:**

The two recommendations will not be implemented. While the Board of Supervisors agrees with the recommendation, it is not reasonable or feasible to implement this recommendation within the next 12 months. The County is actively evaluating opportunities and options for alternate office spaces, and it is unlikely that a new location will identified in time for those functions currently housed in the modular buildings to be moved to a new location, and the lease to be terminated.
Sutter County Human Services: Welfare & Social Services Division

FINDINGS

Grand Jury Finding #1:

“F1: Favoritism and preferential treatment of employees have adversely affected employee morale of the Sutter County Welfare & Social Services Division. These practices by management staff involved work schedules, promotion, assignments and discipline. Evidence has shown promotional practices within the division are not solely based upon merit. Division managers give special assignments and promotions to those who seemingly curry personal favor. In addition, evidence has also shown disciplinary actions are not applied fairly and consistently to all employees.”

Grand Jury Finding #2:

“F2: The department has inconsistently administered alternate work schedules, negatively impacting morale.”

Grand Jury Finding #3:

“F3: During the SCGJ’s investigation of the asbestos exposure concern due to the remodeling at 190 Garden Hwy, it was determined the remodeling was done appropriately/safely with no exposure to asbestos; however, it was also determined that staff were not informed in a timely manner of the construction to take place.”

Grand Jury Finding #4:

“F4: Management inappropriately printed out an employee’s post on Facebook and placed it in that employee’s personnel file kept by the supervisor. The monitoring of an employee’s off-duty social media communications, and subsequently posting the information in the employee’s personnel file is not only potentially unlawful, but in the opinion of the SCGJ an abuse of power.”

Grand Jury Finding #5:

“F5: There is no proper documentation or accountability of hours worked within the Welfare & Social Services Division, which is apparently the case in all county departments.”
Response from the Board of Supervisors:

F1: The Board of Supervisors disagrees with Finding #1.

County Administration and Department Management have not received evidence that promotional practices within the Division are not solely based upon merit; that managers have given special assignments and promotions to those who seemingly curry personal favor; or that disciplinary actions are not applied fairly and consistently to all employees.

During fiscal year 2014-15, County Administration and or the County Human Resources Department received three complaints from three employees in the Sutter County Welfare/Social Services Division. These complaints were handled pursuant to the SUTTER COUNTY PERSONNEL RULES AND REGULATIONS. Three of these complaints were investigated by an independent investigator employed by a law firm. The results of the investigations are contained in three recent reports. The investigations included interviews with various employees and review of documentation. None of the allegations were sustained by the evidence. County Counsel remains available to review these reports with the Grand Jury upon request.

County employees are provided substantial opportunities to object to actions taken by their employer through the employee grievance process. Non-Merit System Services (MSS) can file a grievance with an employee's immediate supervisor (Step 1); and if not resolved appealed to supervisor's manager (Step 2); and if not resolved appealed to the department head (Step 3); and if not resolved appealed to the Human Resources Manager/County Administrative Officer (Step 4); and if still not resolved referred to an arbitrator with the final decision made by the Board of Supervisors. At any point in the process all employees are entitled to representation in the preparation and presentation of his/her grievance. The non-MSS grievance process is detailed in Section 20 of the SUTTER COUNTY PERSONNEL RULES AND REGULATIONS. Merit System Services Employees can file a grievance with an employee's immediate supervisor and if not resolved informally a written grievance may be prepared and shall be submitted to the immediate supervisor for a written response (1st Level of Review); and if not resolved appealed to the second line supervisor or administrator or the agency personnel office (Second level of review); and if not resolved appealed to the appointing authority (Department Head) (Third level of Review) and if still not resolved referred to the local governing Board for the final administrative remedy (Final level of Review). The Grievance process for MSS employees is detailed in section 17572 of the LOCAL AGENCY PERSONNEL STANDARDS (LAPS). All employees are entitled to representation in the preparation and presentation of his/her grievance.
County employees can also file discrimination, harassment, or retaliation complaints with their department head or the County Human Resources Department under Section 23 of the SUTTER COUNTY PERSONNEL RULES AND REGULATIONS or under section 17153, 17551, 17575, 17576 and 17581 of the LOCAL AGENCY PERSONNEL STANDARDS. In some cases these complaints are investigated by the department, in other cases, in order to avoid a potential conflict of interest, they are investigated by an outside investigator. The selection of an outside investigator is usually arranged for by the Human Resources Department in consultation with County Counsel.

Welfare/Social Services Division employees also have the option to file a complaint through the Cal-HR because they are part of the State Merit System Services. This is an additional avenue of appeal available to employees in this Division.

Additionally, County employees may file a complaint with the Fair Employment and Housing Commission (FEHC) regarding a claim of discrimination, harassment, or retaliation. This option has been exercised by a few County employees in the past and the opportunity to file a complaint with DFEH is identified in the SUTTER COUNTY PERSONNEL RULES AND REGULATIONS. These rules specify that employees shall not be subject to retaliation for filing a complaint with FEHC. To date, the Department has not had an adverse ruling.

County employees can also file a complaint regarding a claim of discrimination, harassment, or retaliation with the Equal Employment and Opportunities Commission (EEOC). This option has also been exercised by some County employees in the past and the opportunity to file a complaint with EEOC is also identified in the SUTTER COUNTY PERSONNEL RULES AND REGULATIONS. Again, the rules specify that employees shall not be subject to retaliation for filing a complaint with the EEOC. To date, the Department has not had an adverse ruling.

Finally, like anyone else, County employees have recourse to file a lawsuit with the courts.

As can be seen, there are a number of avenues for an employee to file a complaint. The options are identified in the County Personnel Rules and Regulations and the Local Agency Personnel Standards (LAPS). Generally, public sector employees are more unionized than private sector employees and have more protections built into their agreements with public sector agencies.
F2: The Board of Supervisors disagrees with Finding #2.

County rules state that Department Heads are required to make a recommendation for consideration to the CAO in order to implement alternate work schedules. The Department Head has done this.

The County Rules regarding alternate work schedules are the result of the negotiations between the County and the Employees Association. The alternative work schedule in question was approved by the Board of Supervisors as part of the MOU with the employees Association on January 11, 2000. The Human Services Department - Welfare/Social Services Division received approval from the Board of Supervisors to implement alternate work schedules on March 13, 2001. Desired changes to negotiated items are regularly raised as part of the negotiations process between the County and the Employees Association. Currently, the Human Services Department is complying with the Rules Governing Employee Compensation, Benefits and Working Conditions.

Requests for permanent alternate work schedules have been denied based on County rules which state that the alternate work schedule is authorized based on the Department Head’s recommendation and the approval of the CAO and that the Department Head or CAO have the unconditional right to cancel an alternate work schedule.

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1 The county has established rules around alternate work schedules. These have been established through the meet and confer process, which are reflected in the Rules Governing Employee Compensation, Benefits and Working Conditions.

These rules state:
"Except as otherwise provided below, the official work week for full time employees shall be forty (40) hours and shall begin on each Saturday and end with the following Friday"

"Employees may be assigned to work a schedule consisting of four 10-hour work days in a work week, i.e. four (4) 10-hour days on duty and three (3) days off. Department heads are required to make a recommendation for consideration to the County Administrative Officer (CAO) to implement a 4-10 work schedule. CAO approval is required. The CAO and/or department head have the unconditional right to cancel the 4-10 work schedules for an individual or for the department at any time without reason, provided a two (2) week notice is given to the employee(s). Any change in work schedule will be effective at the beginning of a pay period."

"Employees may be assigned to work a nine (9) eighty (80) work schedule, i.e. four (4) nine-hour days on and an eight (8) hour day on with two days off, followed by four (4) nine-hour days on and three days off. For purposes of the 9-80 work schedules, the official work week will begin and end after four (4) hours scheduled worked during the eight (8) hour day. Department heads are required to make a recommendation for consideration to the CAO to implement a 9-80 work schedule. CAO approval is required. The CAO and/or department head have the unconditional right to cancel the 9-80 work schedules for an individual or for the department at any time without reason, provided a two (2) week notice is given to the employee(s). Any change in work schedule will be effective at the beginning of a pay period."
F3: The Board of Supervisors partially disagrees with Finding #3.

It is agreed that the allegations of employees being exposed to asbestos were false. There is significant documentation on this subject that was provided to the Cal OSHA District Office in October of 2013. This information was also posted at the 190 Garden Highway office on October 22, 2013.

This information, on file with Cal OSHA, was made available to the Grand Jury. This information provides factual information on the work that was done on the building, the materials used, and the methods used in removing asbestos. At no time was Welfare/Social Services staff subject to an unsafe environment.

The Board of Supervisors disagrees with the finding that staff were not informed in a timely manner of the construction to take place. This item has been discussed with Welfare & Social Services Division management staff. Management provides employees information on construction projects as soon as management staff are notified by County Building and Maintenance.

F4: The Board of Supervisors partially disagrees with Finding #4.

It is agreed that an employee’s post on Facebook should not be placed in the supervisor’s desk file for that employee. It is also agreed that management should not monitor an employee’s off-duty social media communications.

This item has been discussed with Welfare & Social Services Division management staff. Administration believes that this matter also highlights the importance of discretion and the responsibility of employees as it concerns workplace information. It should be noted, however, that if management were to be made aware that an employee disclosed confidential client information or, in the case of the Health and Mental Health Divisions, protected health information, the Department would be obligated to take appropriate action.

F5: The Board of Supervisors disagrees with Finding #5.

This item has been discussed with Welfare & Social Services Division management staff. The Department reports that, despite the allegations that there is no proper documentation or accountability of hours worked, the time sheets used by the Human Services Department have been used as documentation in State and Federal audits. During numerous audits that are conducted annually by State and Federal auditors, time sheets have been required to verify time spent by staff in various programs. The
Department is responsible to the Board of Supervisors and accountable to the agencies that provide funding for its programs. The allegation that there is no proper documentation or accountability of hours worked is not supported by the fact that multiple State and Federal agencies use employee time cards as documentation for hours worked.

RECOMMENDATIONS

Grand Jury Recommendation #1:

“R1: The HR Department will annually review leadership practices in the Welfare & Social Services Division. Such a review shall ensure ethical standards are established and a procedural firewall exists to insure equity in the quality of management. The Human Services Director in conjunction with HR staff shall ensure employees selected for promotion have demonstrated the necessary skills and abilities for the position they seek. The HR department will insure any and all performance issues are addressed in a fair consistent manner.”

Grand Jury Recommendation #2:

“R2: Sutter County Department of Human Resources take a more active role in overseeing and regulating the county promotion process. This should include the development of specific policies as part of its Personnel Rules & Regulations. Further, improve training of hiring managers and others who sit on promotional interview panels. The SCGJ would also recommend that Human Resources disseminate information to division staff about the process by which complaints about personnel issues, such as unfairness in promotion practices, could be raised by employees and resolved.”

Grand Jury Recommendation #3:

“R3: The HR Department should ensure only employees, who are not in a supervisory position within the division and are deemed eligible, shall have the opportunity to work on an alternate work schedule. The Human Services Department along with the HR department shall monitor the negating or granting of alternate work schedules for staff within the division.”

Grand Jury Recommendation #4:

“R4: The Human Services Director should immediately review all supervisory personnel files. HR should determine whether information kept in these files is appropriate. The HR Department should provide guidelines as to what type of information, if any, can be kept in these files. All items prior to the employees’ last evaluation should be removed and destroyed.”
Grand Jury Recommendation #5:

"R5: The Human Service [sic] Director should ensure the division adheres to county policy concerning lunch periods. The HR department shall institute a time accountability system to insure accountability for hours worked."

Grand Jury Recommendation #6:

"R6: SCGJ recommends an internal audit be conducted of the Welfare and Social Services Division. Leadership practices as well as fair and impartial implementation of policies should be reviewed to ensure staffs are treated fairly and consistently. Time management of management staff should be reviewed. Best practices and morale in this department should be taken under advisement."

Response from the Board of Supervisors:

The following responses have been developed in conjunction with the Human Services Director and the County Administrative Officer/Human Resources Director.

R1: The several recommendations listed within Recommendation #1 will not be implemented, either because they are not warranted or because they have already been implemented:

a. Procedures and policies are already in place to evaluate leadership and management performance and practices. An annual review of Welfare/Social Services management to be performed by the Human Resources Department is not warranted, and does not comport with existing County rules and procedures. The County Administrative Officer performs an annual evaluation of the Human Services Director as well as all appointed department heads in the County. The categories for evaluation include General Management, Budget and Fiscal, Responsiveness of Issue Solution, Personnel Management, Communications and Working Relationships. The evaluation of the Assistant Directors of Human Services for Health, Mental Health and Welfare/Social Services are the responsibility of the Human Services Director. These are the normal lines of authority and responsibility in any large organization and certainly the standard in County governments.

b. Procedures and policies are already in place to ensure that employees selected for promotion are qualified for said position(s); and to ensure that performance issues are addressed in a fair and consistent manner. The hiring process not only includes recruitment and selection, but also includes a one year promotional probationary period for a candidate to successfully complete the hiring process.
The recruitment and the initial selection processes for the majority of Welfare/Social Services positions are managed by State Merit Systems Services. State Merit Systems Services provides notice that a promotional opportunity exists. Employees interested in the promotional opportunity submit applications to State Merit Systems Services. State Merit Systems Services reviews each application to ensure that the applicant meets the job qualifications that are required for the position. Depending on the position, State Merit Systems Services then administers a written and/or a structured oral exam to identify the top qualified candidates to be considered by the Welfare/Social Services Division. These top candidates make up the Eligibility List that is provided to the Welfare/Social Services Division from which the Division will select the individual to be hired. Any appeals to this portion of the hiring process are to be filed with State Merit Systems Services or Cal-HR. A more detailed description of this process is contained in the attached memo from Merit Systems Services (Attachment D).

Once the Welfare/Social Services Division receives the Eligibility List of qualified candidates from State Merit Systems Services, the Division interviews the candidates on the list. The Division also uses a panel to interview the candidates. For example, interviews for a Public Assistance Specialist Supervisor would usually be conducted by a panel including the Assistant Director of Human Services for Welfare/Social Services, Program Managers and/or a Public Assistance Specialist Supervisor. This provides the advantage of having multiple opinions of the candidate’s strengths and weaknesses. It also provides an additional advantage because a Public Assistance Specialist Supervisor may be transferred at a later date to another program and that Program Manager may have been part of that hiring process. The recommendations are discussed with the Assistant Director of Human Services for the Welfare/Social Services and the top candidate is offered the position. Once the offer is accepted the candidate then begins the one year probationary period for the position. This is the time period for the candidate to demonstrate the necessary skills and abilities for the position they hold. If the candidate does not successfully complete the promotional probationary period they will be notified that they failed to complete probation. The Human Services Director is involved in any decision to notify an employee that they have failed to complete probation in the Welfare/Social Services Division.

Furthermore, the Code of Conduct (ethical standards) for the entire Human Services Department is reviewed with all employees when hired and signed by the employees. The Code of Conduct is available on the Human Services website under the compliance section and periodic training on the Code of Conduct is provided Department employees.

Human Resources staff currently reviews proposed disciplinary actions for all permanent employees. The Human Resources Department reviews the proposed action for: consistency of discipline across County departments; is the discipline appropriate to
the violation; is the discipline progressive; is there a disability that needs accommodation rather than imposing discipline; and other possible factors.

R2: The several recommendations listed within Recommendation #2 will not be implemented, either because they are not warranted or because they have already been implemented:

Sections 5 through 10 of the County Personnel Rules and Regulations describe the County process for recruitment and hiring of employees. Section 7 of the County Personnel Rules and Regulations specifically describes the promotional procedures for the County. The promotional procedures for the Welfare/Social Services Division are governed by State Merit System Services (MSS) Local Agency Personnel Standards. This process is described in the response to Recommendation 1 and Attachment 1.

Employee complaint procedures are addressed in Finding 1 above. As previously stated, these procedures are identified in the SUTTER COUNTY PERSONNEL RULES AND REGULATIONS.

Training is provided to supervisors and managers, through one-on-one instruction and through large group events. Additionally, Sutter County recently transitioned to the Trindel Insurance Group, and in that transition has begun implementing Trindel’s Leadership Supervisor Training Program. This program is designed to provide current and future supervisors, managers, and department heads with the skills and knowledge necessary to be an effective leader and supervisor. Under this program, employees are encouraged to participate in at least three supervisory training sessions per year and each training being at least two hours in length and specific to supervisory subject matter.

R3: Recommendation #3 will not be implemented because it is not reasonable.

The Welfare/Social Services Division is required to provide certain client services beyond the normal business hours of 8 a.m. to 5 p.m. For example, “open enrollment” is mandatory service that requires certain divisions of Social Services to provide client series between the hours of 8 a.m. and 7 p.m., Monday through Friday, and 8 a.m. to 6 p.m. on Saturdays, during open enrollment periods. Actual employee work schedules during these periods would cover the time period between 7 a.m. and 7 p.m.

If no supervisory or management staff were to be assigned to an alternative work schedule, employees working during hours outside of 8 a.m. and 5 p.m. would be working without a supervisor on site. This is not reasonable or responsible. Supervisors provide line staff with support for the day to day issues that line staff encounter when
working with clients. Line staff should not be asked to work without a supervisor available to them. For this reason, supervisory staff are assigned alternative work schedules. On the other hand, management staff tend to have program responsibility or are responsible for multiple programs. Because management staff has a broader responsibility, their regular work hours are generally eight hours per day, five days a week. No management staff are assigned to an alternative work schedule.

It should also be noted that staff schedules are subject to the work that needs to be accomplished and the number of staff that are required to do the work. The decision on staff schedules are best determined by the managers within the Department.

R4: Recommendation #4 has been implemented.

The recommendation related to the Human Services Director has been implemented. The Human Services Director has reviewed all supervisory personnel files within the Welfare/Social Services Division of the Human Services Department.

Additionally, as follow-up to this recommendation, the Human Resources Department will provide all County department supervisors and managers with additional guidance regarding personnel files and evaluations.

R5: Recommendation #5 will not be implemented because it is not warranted.

The County policy concerning lunch periods is found in Section 7.9 of the Rules Governing Employee Compensation, Benefits and Working Conditions and states:

"Lunch and Break Periods - General, Supervisory, and Professional Units"

Each employee shall be guaranteed a lunch period of one-half hour or one hour, to be determined by his/her department head and depending upon his/her workday. For employees working a full shift, such lunch period shall be scheduled at or near the midpoint of the scheduled hours of work. In the event an employee is requested in advance by his/her Department Head to work during his/her regular lunch period, he/she shall be credited at the applicable overtime rate for working during such lunch period."

Welfare/Social Services Division employees are assigned a one-hour lunch period for all employees working an eight-hour day, unless notified in writing. Employees working an alternate work schedule are notified in writing of the time of the lunch period. It is expected that employee time sheets reflect actual hours worked.

Additionally, as stated in Finding 5, the State and Federal governments have accepted time sheets used by the Human Services Department for Health, Mental Health and Welfare & Social Services Divisions. The institution of a time accountability system to
ensure accountability for hours worked would most likely require a “time clock” in every County department. A “time clock” would provide information about when County employees arrive or leave work but would not identify what they work on when they are at work. In order to obtain information on which program they worked on during their work day the current time sheets would still have to be used to satisfy State and Federal auditors.

R6: Recommendation #6 will not be implemented because it is no longer necessary.

As previously mentioned in the Board’s response to Finding #1, three separate complaints were received, and have been thoroughly reviewed and investigated. These investigations revealed that an internal audit of Management Practices is not necessary. These reports revealed that the Leadership practices were fair and impartial. Managers were open to input from staff and went to great lengths to ensure the success of employees. The investigator concluded that the employees who brought forth the complaints were not treated unfairly. County Counsel remains available to review these reports with the Grand Jury upon request.

Generally, fair and impartial implementation of policies and treatment of staff is always subject to the personnel rules and regulations. The SUTTER COUNTY PERSONNEL RULES AND REGULATIONS provide for a grievance process with multiple appeal processes and protections against discrimination and harassment. As previously discussed, substantial safeguards exist to protect employee's rights including representation by the Employee Association.

Additionally, time management is usually a concern when goals are not being accomplished in a timely manner. This is not an issue in the Welfare & Social Services Division. Much has been accomplished in the past two years which has resulted in greater efficiencies and improved service to our clients.
Sutter County Board of Supervisors Response to 2014-15 Grand Jury Report

Sutter County Internal Auditor

FINDINGS

Grand Jury Finding #1:

“F1: There are currently no internal audits being conducted.”

Grand Jury Finding #2:

“F2: There have been known embezzlements, as much as $90,000 from the sheriff’s office and $10,000 from the treasurer’s office.”

Grand Jury Finding #3:

“F3: Not all county departments conduct inventories.”

Grand Jury Finding #4:

“F4: Previously, department records were not ready at time of yearly scheduled audit. The county incurred additional costs as a consequence.”

Response from the Board of Supervisors:

F1: The Board of Supervisors agrees with Finding #1.

F2: The Board of Supervisors agrees with Finding #2 - - there have been two known embezzlements.

By way of background for readers of this report, in October 2009, Treasurer-Tax Collector Steve Harrah discovered evidence of embezzlements that had taken place within the Treasurer’s Office during the previous fiscal year. Separately, in November 2008, an incident of embezzlement in the Sheriff’s Office was uncovered. In both cases, cash-handling policies that should have prevented such incidents from happening were not being followed. The District Attorney’s Office conducted criminal investigations of both incidents, and each Department Head followed up on cash handling procedures in each of the offices.

In the immediate aftermath of the embezzlements, the County Administrative Officer requested the County’s independent audit firm of Gallina, LLP to review what had happened and review the County’s cash handling policies, and issue a report of their findings and recommendations. A detailed review of the County’s cash handling
procedures was conducted by Gallina, and their final report was issued May 2010.

In response to the two incidents of embezzlement, the County Administrative Officer also recommended contracting with an outside firm with the expertise to conduct both management and financial audits. The Board of Supervisors approved the recommendation, and a Management Audit Ad Hoc Committee was established, consisting of the County Administrative Officer, the Auditor-Controller, and two members of the Board of Supervisors. The County Administrative Office was the day-to-day contact, but the firm reported directly to the Board of Supervisors. As mentioned in the discussion regarding the Grand Jury’s report on the District Attorney office, the County Administrative Officer will be recommending that the Board of Supervisors re-establishing the Management Audit Ad Hoc Committee. It is anticipated that this recommendation will be considered by the Board of Supervisors within the next three months.

F3: The Board of Supervisors agrees with Finding #3.

Not all County departments are required to conduct inventory, because most County departments do not conduct operations that involve the maintenance of inventory. Two departments do track inventory: Fleet Management and the Road Department. According to the Auditor-Controller, the approximate inventory values as of December of 2014 are approximately $10,000 & $70,000, respectively.

F4: The Board of Supervisors agrees with Finding #4.

During the financial audit for year ending 2012, representatives of CohnReznick, that year’s independent audit firm, reported that at the time audit procedures were to begin, October 1, 2012, critical items that were required in order to start the work had not yet been received. CohnReznick reported that, as a result of the delay in delivery of year end requests, their staff members were on-site yet were unable to perform the planned procedures for the week of October 1, resulting in several days of un-billable hours. The firm had to reschedule employees, and incurred a financial loss. The firm requested, and the Board of Supervisors/ Grand Jury Audit Committee authorized, payment of additional compensation in the amount of $10,000 to CohnReznick, to compensate the firm for its loss.

During the financial audit for year ending 2013, representatives from Gallina, LLP, that year’s independent audit firm, reported that capital asset records were not complete or available for their review at the time of audit. Subsequently, additional capital asset records were identified by County staff. These records had not previously been audited, requiring Gallina to perform additional work in completion of the 2013 audit. This instance is noted by the 2014-15 Grand Jury. The audit firm requested, and the Board of Supervisors/Grand Jury Audit Committee authorized, payment of additional compensation in the amount of $1,500 to Gallina, to compensate the firm for additional work that was required.
RECOMMENDATION

Grand Jury Recommendation #1:

"R1: The SCGJ most strongly recommends an internal auditor position be funded."

Response from the Board of Supervisors:

R1: The recommendation to allocate resources to the Auditor-Controller is a budgetary and personnel matter affecting the office of an elected department head. This recommendation will not be implemented in this fiscal year due to funding constraints. The recommendation will require further analysis for possible implementation in future years.

As previously stated in the Board’s response to Finding #2, in order to provide for internal audits of County departments, the County Administrative Officer will be recommending that the Board of Supervisors re-establish the Management Audit Ad Hoc Committee. Initially, it will be recommended that the Board of Supervisors approve funding for an audit of the District Attorney’s Office. It is anticipated that this recommendation will be considered by the Board of Supervisors within the next three months.

The Sutter County Auditor-Controller is an independently elected official, and as such, responds directly to the Grand Jury’s findings and recommendations concerning his office. A copy of the Auditor-Controller’s response is included in this document as Attachment C.
Sutter County Jail Medical

FINDING

Grand Jury Finding #1:

“F1: The soaring cost of jail medical, will have a negative impact on other critical county services.”

Response from the Board of Supervisors:

F1: The Board of Supervisors agrees with this finding.

RECOMMENDATION

Grand Jury Recommendation #1:

“R1: Pursuant to Penal Code S 4011.2, the Sutter County Sheriff shall charge inmates a co-pay of $3.00 for each inmate-initiated medical visit. The Sheriff in conjunction with the Assistant Director for Health shall assess a fee for over-the-counter medications per dose.”

Response from the Board of Supervisors:

R1: The first part of this recommendation has already been implemented. A $3.00 fee was established in FY 2006-07.

The second part of this recommendation has not been fully implemented, but will be implemented in the future. Inmates are currently assessed a fee for some over-the-counter medications. It is estimated that a full review will be completed and a final recommendation will be implemented by December 31, 2015.

The Sutter County Sheriff-Coroner is an independently elected official, and as such, responds directly to the Grand Jury’s findings and recommendations concerning his office. A copy of the Sheriff-Coroner’s response is included in this document as Attachment E.
Sutter County Sheriff's Office: Communication and Promotional Opportunities

FINDINGS

Grand Jury Finding #1:

"F1: Communication between the ranks is viewed as not permissible."

Grand Jury Finding #2:

"F2: Staff appears unclear as to the expectations required to promote throughout the Sheriff’s Office."

Response from the Board of Supervisors:

The two findings pertain to the management of the Sutter County Sheriff’s Office, which is the responsibility of an elected Department Heard. As such, the Sutter County Sheriff-Coroner has responded to the two findings. For elected Department Heads, the Board of Supervisors is responsible for responding to findings and recommendations that affect the personnel allocation and budget of the department(s).

RECOMMENDATIONS

Grand Jury Recommendation #1:

"R1: Upper Management should avail themselves to line staff. This could include regular meetings with staff of various ranks, periodic checking in within each department by physically visiting each area within the department and reminding all staff that they can speak to any level of management without the fear of reprisal."

Grand Jury Recommendation #2:

"R2: Promotional Policies, including the necessary steps, should be uniform and disseminated to all staff. This includes what methods, written, oral or practical exercises will be utilized for the selection of staff. Staff should also be aware of what constitutes a passing grade."

Grand Jury Recommendation #3:

"R3: Sutter County should consider implementing the “Community Oral Board.” This will help eliminate the appearance of any bias during selection. This will also help solidify the idea that the promotion practice is fair as the panel contains outside members.”
Response from the Board of Supervisors:

The three recommendations pertain to the management of the Sutter County Sheriff’s Office, which is the responsibility of an elected Department Heard. As such, the Sutter County Sheriff-Coroner has responded to the two findings. For elected Department Heads, the Board of Supervisors is responsible for responding to findings and recommendations that affect the personnel allocation and budget of the department(s).

It is important to note that the County’s Human Resources Department assists the Sheriff’s Department with all recruitments. As with other County Departments, a recruitment plan is developed in conjunction with Human Resources, each time an eligible list will be established for a classification. Testing follows standard procedures to ensure that the administration and evaluation is fair and accurate. Each recruitment is competitive. Recruitment plans support the County’s Rules which are intended to ensure that decisions regarding individuals to be appointed, promoted, and retained are made on the basis of merit.

The Sutter County Sheriff-Coroner is an independently elected official, and as such, responds directly to the Grand Jury’s findings and recommendations concerning his office. A copy of the Sheriff-Coroner’s response is included in this document as Attachment E.
September 10, 2015

To: James M. Arkens, County Administrative Officer

From: Danelle Stylos, Director of Development Services  
John Shalowitz, Fire Battalion Chief

Re: Response to 2014-15 Grand Jury Report – Fire Services Division

**Division Comments**

Sutter County Fire Services has received the 2014-2015 Final Report of the Sutter County Grand Jury and have reviewed their findings. The Grand Jury has found that the rear apparatus bay at the Oswald-Tudor Fire Station, 1280 Barry Road, Yuba City, is in need of replacement. Fire apparatus cannot fit inside the building; therefore, the apparatus bay cannot be fully secured from theft or damage to County property.

Sutter County Fire Services agrees with this finding. The same finding was noted in the 2007-2008 Grand Jury Report. As you may be aware, the Sutter County Fire Department is a County Service Area (CSA). The funding for this CSA comes from a small portion of property taxes, a special fire tax, and a contract with the City of Live Oak. This CSA receives no funding from the General Fund.

When the economy took a downturn, many capital asset items or capital improvement projects had to be placed on hold. Though the economy is improving, it has not improved to a point where this CSA budget can assume all of the costs related to the replacement of this building.

We are looking into other options, such as grant funding through the Community Development Block Grants, as well as other grant opportunities. I am confident that Sutter County will assist in our efforts to replace this building. We have already begun working with Development Services Engineering Services Division staff to design and estimate replacement costs.
September 10, 2015

Honorable Brian R. Aronson
Presiding Judge
Sutter County Superior Court
446 Second Street
Yuba City, CA 95991

Re: Response to Grand Jury Final Report

Dear Judge Aronson,

Submitted herewith is Sutter County District Attorney’s response to the Final Report of the 2014-2015 Sutter County Grand Jury. Penal Code Sections 933 et al. require elected officials to respond to the findings and recommendations of the Grand Jury. This response is submitted to you directly as required by Penal Code Section 933.05.

The District attorney agrees with the Grand Jury’s findings and appreciates the attention given to this investigation. The members of the Grand Jury provide a necessary and important public service and should be commended for their time and efforts. The District Attorney also appreciates and shares the Grand Jury’s concerns for this office and its functionality.

The District Attorney, with the assistance of the Sutter County Supervisors and the County Administrative Officer, continuously focuses on improving the office’s ability to provide public service to meet the needs of the community. In an effort to earn the confidence and respect of the people of Sutter County, every effort is made to increase efficiency and effectiveness, while maintaining integrity and the highest ethical standards.

Sincerely,

Amanda L. Hopper
Sutter County District Attorney

cc Sutter County Administrative Office
Sutter County Board of Supervisors
Grand Jury Recommendation 1

The SCGJ recommends that the Auditor/Controller be allocated the necessary resources to conduct an internal audit of the District Attorney’s Office at the request of the District Attorney.

Response 1

The District Attorney continues to support and request an internal audit. Should the Auditor/Controller attain the resources to conduct such an audit, the District Attorney will make any and all information available to the auditor.

Grand Jury Recommendation 2

In view of the fact that the District Attorney’s office derives funding from grants from various agencies which are to be used for specific purposes, the SCGJ recommends that the District Attorney be provided the resources to employ a full time accountant.

Response 2

This recommendation has been implemented. The Sutter County Board of Supervisors approved and allocated the necessary salary and a full-time Staff Analyst has been hired and is filling the position.

Grand Jury Recommendation 3

With the passage of Proposition 47, the District Attorney’s workload has increased tremendously. So much so, that the District Attorney has dedicated one Deputy District Attorney to primarily handle these cases. This has shifted that person’s workload onto the remaining attorneys. The SCGJ recommends that an additional attorney be hired to handle the increased workload.

Response 3

This recommendation requires further analysis. While the District Attorney agrees with the report and recommendation, there are budgetary concerns that limit the ability to hire additional staff. The District Attorney will continue to assess and evaluate the needs of the office and should the funds become available, will request an additional attorney position.

Grand Jury Recommendation 4

In view of the nature of the Victim/Witness Assistance Program and its primary objective which is to protect victims and witnesses, the District Attorney’s Office may not be the best agency to manage the program. There is the potential for a conflict of interest where the District Attorney is sworn to prosecute to the full extent of the law, and this may not be in the best interest of the victim or witness. The SCGJ, therefore, recommends that this program be overseen by another agency, e.g., the Probation Department or Health and Welfare.

Response 4

This recommendation requires further analysis. The District Attorney has made this request to the Sutter County Administrative Officer and there is ongoing discussion regarding the timing and appropriateness of facilitating such a transition. The District Attorney’s Office will continue its efforts to improve and maximize the efficacy of the Victim/Witness Assistance Program, wherever the program is housed.
August 12, 2015

The Honorable Brian R. Aronson
Presiding Judge of the Superior Court of California
County of Sutter
446 Second Street
Yuba City, California 95991

Dear Judge Aronson:

Submitted herewith is the Auditor-Controller’s response to the 2014-2015 Grand Jury Report section on SUTTER COUNTY DISTRICT ATTORNEY and SUTTER COUNTY INTERNAL AUDITOR. Penal code §933(c) and §933.05 require elected officers to respond within 60 days to the findings and recommendations of the Grand Jury. This response is submitted directly to you pursuant to Penal Code §933.05.

We commend the individual members of the Grand Jury for their public service.

We agree with the recommendation that an internal audit position be funded and the Auditor-Controller’s office use those resources to conduct internal audits throughout the county including an audit of the District Attorney’s office as requested by the District Attorney.

“Simply put, most organizations do not or cannot effectively govern themselves. This does not mean they do not try, but it is difficult to be objective when evaluating your own operations.”

With the sole purpose of focusing on improvements, an internal auditor can evaluate financial and operational processes and alert management to weaknesses making recommendations that result in increased efficiencies and a reduction in losses due to fraud.

Internal audits can reduce losses due to embezzlement. In 2009 two alleged embezzlement cases were reported in Sutter County in two different departments resulting in an estimated loss of $100,000. In one instance, a procedural audit of internal controls would have revealed that internal control policies in place at the time were not being followed. In the second instance, an internal audit would have revealed control weaknesses. It wasn’t until after the incident that additional procedures were put into place to mitigate future potential losses. With an internal

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audit division, preventative steps can be taken proactively to thwart problems before they materialize leading to the possible prevention of similar losses in the future.

Internal audits can reduce misappropriation of funds. In July of 2014 the California Governor’s Office of Emergency Services completed an audit of the Victim/Witness Assistance Program grant for years July 1, 2011 through June 30, 2015 and found $78,225.37 in unallowable costs and unsupported expenditures. The county was required to send these revenues back to the state. A properly executed internal audit of the department may have identified accounting weaknesses and reduced the risk of misappropriation of the funds which required repayment.

Internal audits can reduce county expenditures. Grants that require audits be performed can be completed by the internal auditor saving the county costly fees to outside audit firms. The clerk-recorder truncation program legally requires the county auditor conduct periodic audits of the fund. In cooperation with the clerk-recorder, the auditor-controller’s office was able to perform an agreed upon procedures audit necessary to meet legal guidelines generating $7,500 of new revenue. With an internal audit position required audits similar to this can be performed, thus producing new revenue in the auditor-controller department and reducing the general fund commitments saving the county audit fees.

Internal audits can improve efficiencies and increase the likelihood of grant funding. For several years the county has missed the December 31st deadline for completion of the grand jury/board of supervisors audit. The delay of the issuance of the audit report jeopardizes grant funding. An internal auditor will work with departments to improve accounting procedures that will ensure the audit is completed timely.

Internal audits can improve financial accountability and save the county unnecessary costs. The audit performed by the independent auditors each year includes a management report which outlines areas where the county needs to strengthen internal controls and improve operating efficiency. An internal auditor can provide the necessary expertise while working with the departments to improve internal controls and increase efficiency. Many of the management comments fail to produce remedial action each year due to lack of accounting expertise. A recent costly example is the reported reconciliation of the personnel benefits fund costing the county over seven hundred thousand dollars ($700,000+).

In addition to coordinating the annual external audit, an internal auditor would also be responsible for managing the auditor-controller’s internal audit function including updating and maintaining the county’s internal audit policy and performing audits in accordance with the annual audit plan which would be submitted to the board of supervisors and audit committee for review and comment. The internal auditor in coordination with the auditor-controller would provide periodic updates of the progress of the audits to the audit committee.
August 12, 2015
Page 3 of 3

California Government Code § 1237 states “All state and local agencies with an aggregate spending of fifty million dollars ($50,000,000) or more annually shall consider establishing an ongoing audit function.” In fiscal year 2014-2015 Sutter County’s adopted budget was over $250 million, five times greater than the recommended threshold. The county has been without an internal audit position since it’s elimination in the early nineties. There have been no internal audits compliant with GAO government auditing standards in the county for over twenty years and the county’s current internal audit policy doesn’t meet the generally accepted government auditing standards (GAGAS) of independence.

California Government Code § 26881 states:

“The county auditor, or in counties that have the office of controller, the auditor-controller shall be the chief accounting officer of the county. Upon order of the board of supervisors, the auditor-controller shall prescribe, and shall exercise a general supervision, including the ability to review department and countywide internal controls, over the accounting forms and the method of keeping the accounts of all offices, departments and institutions under the control of the board of supervisors and of all districts whose funds are kept in the county treasury.”

By law the Auditor-Controller as an elected officer is also required to send a copy of this report to the Sutter County Board of Supervisors, after which they will have another 30 days to write their response. I am complying with that requirement. I trust that this response will likewise be distributed to all recipients of the Grand Jury’s report and all recipients of the Board of Supervisor’s response.

Sincerely,

Nathan M. Black, CPA
Auditor-Controller

cc: Sutter County Board of Supervisors
July 20, 2015

Lori Harrah, Director
Sutter County Welfare and Social Services
539 Garden Hwy, Suite C
Yuba City, CA 95991

Re: Merit System Services

Dear Lori, per our discussion, the following information summarizes the Merit Personnel System and includes detailed information regarding the Merit System Services recruitment process.

A Merit System is defined as the manner of hiring and promoting government employees that emphasizes their ability, education, experience, and job performance rather than their connections or other political factors -- one in which human resources activities are governed by uniform personnel policies and procedures. Federal legislation established six merit principles that apply to those state and local governments that are required to operate merit personnel systems as a condition of eligibility for federal funding or participation in an intergovernmental program.

Six Merit Principles

1. Recruiting, selecting, and advancing employees on the basis of their relative ability, knowledge, and skills, including open consideration of qualified applicants for initial appointment.
2. Providing equitable and adequate compensation.
3. Training employees, as needed, to assure high quality performance.
4. Retaining employees on the basis of the adequacy of their performance, correcting inadequate performance, and separating employees whose inadequate performance cannot be corrected.
5. Assuring fair treatment of applicants and employees in all aspects of personnel administration without regard to political affiliation, race, color, national origin, sex, religious creed, age, or handicap and with proper regard for their privacy and constitutional rights as citizens. This "fair treatment" principle includes compliance with the Federal equal employment opportunity and nondiscrimination laws.
6. Assuring that employees are protected against coercion for partisan political purposes and are prohibited from using their official authority for purposes of interfering with or affecting the result of an election or a nomination for office.

California Department of Human Resources (CalHR) expanded on these six principles and developed the Local Agency Personnel Standards (LAPS). These standards provide more administrative and procedural detail on how the federal merit principles are interpreted and instituted in California for local Departments of Social Services and Child Support Services.
The role of Merit System Services (MSS) is to oversee and directly administer personnel programs for local (County) social services and child support services departments. The day-to-day operations of MSS include:

- Recruitment
- Classification
- Reorganization
- Resolution of personnel issues or problems
- Application review
- Test development
- Test administration and scoring
- Certification of eligibility lists
- Disciplinary appeals
- Seniority calculations and layoff
- Compliance with LAPS

MSS does not have authority or responsibility for overseeing or directly administering the following:

- Salary administration
- Benefits
- Position control
- Working conditions
- Employee relations

Twenty-nine (29) of the 58 counties are Interagency Merit System (IMS) counties, in which MSS performs direct personnel services on a daily basis. The remaining 29 counties are Approved Local Merit System (ALMS) counties. MSS currently covers approximately 71,298 employees throughout California. This figure includes social services and child support services employees only in the 58 California counties.
Merit System Services Recruitment Process

The following information is a detailed summary of the recruitment process:

Recruitment Request

Sutter County Welfare and Social Services will request a new recruitment to fill a position when the position is:

1) A newly established position
2) Reclassified
3) Vacated by an employee

Merit System Services (MSS) will first look to see if the department has a current and viable list for the classification that is being requested for recruitment. The current and viable list must also have the same parameters (i.e. open, department promotional, county promotional).

If a current and viable list exists, MSS will review the list with Sutter County Welfare and Social Services staff and determine its continuing viability. If it is still viable, MSS will instruct the department to continue to use the list. If it is found to no longer be viable, MSS will initiate a new recruitment.

A number of factors are reviewed when looking at a list’s viability:

- The date of the list. If it is older than one year, MSS will initiate a new recruitment.
- The number of remaining eligibles. If less than four plus the number of current vacancies, MSS will initiate a new recruitment.
- The viability of the eligibles on the eligible list. It is not unusual that a new list will include applicants from prior lists that the department has already interviewed and not selected or have had some other interaction with the eligibles.

In terms of parameters, the department can choose to initiate a recruitment that is open to the public, open only to department employees, or open only to County employees. Promotional recruitments are open only to regular employees (those who hold permanent or probationary status). This means that extra-help limited-term, extra help intermittent, provisional appointments, temporary workers, interns, and retirees are not eligible to compete in the examination process.

Note: An open and promotional list can exist at the same time. However, an eligible list resulting from a promotional recruitment must be exhausted (no longer viable) before an open list of the same classification may be used for hiring.

To request a new recruitment, Sutter County Welfare and Social Services will complete an online form that is submitted to MSS. The form requires the following information:
• The number of vacancies/vacant positions for that classification. (If the number changes throughout the recruitment process, the department must update MSS with the correct number of vacancies).

• The location (city) of employment

• The MSS class title

• The local agency (County) class title, if different than MSS

• The request type (open, department promotional, county promotional)

• The preferred recruitment timeframe (five days, two weeks, other)

• The monthly salary range

• List Type – replace the existing list or merge the list with the last list.

• Special requirements (Bilingual only, Bilingual preferred, typing certification, program area, etc.)

• A custom position statement, if applicable

• Detailed information on the vacancy (how the vacancy occurred; who previously held the position, if applicable; full-time, part-time, or limited-term position)

• Description of duties

Job Bulletin

Once MSS authorizes the new recruitment, a job bulletin will be created using the information that was supplied by the department, the classification specification that is maintained by MSS, any supplemental forms (either template forms depending on the classification or supplemental questions that are created by MSS and Sutter County Welfare and Social Services subject matter experts), and the proposed examination plan that is also maintained by MSS. The job bulletin is reviewed by department staff before it is distributed and posted online.

Outreach

Specific outreach may or may not take place, depending on the classification and type of recruitment. For example, due to previous recruitment statistics of an open recruitment, it is the expectation that the recruitment will yield plenty of candidates, MSS will not place any advertisements. If the recruitment is department promotional or county promotional, MSS will not place any advertisements. However, if through previous recruitment statistics, the expectation is that a recruitment will yield a low candidate count, MSS may post advertisements in newspapers or online job sites and/or may work

241 Lathrop Way
Sacramento, CA 95815
916.263.3614
916.648.1211 fax
www.mss.ca.gov
with the department in placing advertisements. Dependent upon the type of recruitment (open or promotional), all bulletins are either posted in view of the public within the county and/or in view of Sutter County Welfare and Social Services employees.

MSS reviews received applications on a flow basis. Each classification has established minimum qualifications that are identified on the job bulletin, and candidates must meet the minimum qualifications as well as the request type (open or promotional) to move forward in the recruitment process. Candidates are notified by MSS via email or U.S. mail of their being approved to move forward or not approved eligible to continue in the recruitment process.

Application Review

Once the application deadline has passed, testing may begin. As previously mentioned, each classification has its own exam plan. The final score may be weighted strictly as 100% written, 100% structured oral exam, or weighted as 50% of the written score and 50% of the structured oral exam. Typically, the types of tests will be listed on the job bulletin; however, if a test is added or removed, the candidates will be notified.

Written Exams

When a written exam is administered, MSS retains a trained proctor. Working together, the proctor arranges for a room and MSS notifies the candidates of the date, time, and location of the exam. MSS ships the exam materials to the proctor, who then returns the materials promptly after the exam administration.

MSS scores all exams internally, which typically takes two to four business days following the completion of the exam. After a written exam has been scored, the MSS consultant will set a pass point based on overall candidate performance, the number of vacancies, and other related factors. The pass point determines which candidates will be eliminated from the remainder of the exam process and those who may move forward. Pass point setting is done without any identifying candidate information so that the MSS consultant does not know who is passing and who is failing the exam. The specific candidate information is combined after the passing score has been determined.

MSS does allow for transferred written exam scores. Candidates who have taken the same written exam within six months of the new exam date will not be allowed to re-take the exam. This is to avoid over-exposure to testing materials and to keep the test fair to all candidates. Candidates who have been identified by MSS will automatically have their written exam scores transferred from the last administration to the current administration.
Structured Oral Exams

Structured oral examinations are coordinated by MSS and involve a liaison from Sutter County Welfare and Social Services, a department subject matter expert, and a trained MSS chairperson to manage the oral exam process. The department will complete a Structured Oral Exam Arrangement Form and will provide the following information:

- Date(s) of the exam
- Two panel members/subject matter experts
  - Panel members must be in a job classification that is equivalent or at a higher level to the job classification that is being tested. Panel members should be “Subject Matter Experts” of the classification that is being tested and should understand the competencies/dimensions that are being tested. Panel members can be from other county departments, comparable outside agencies, or retirees. Staff who are selected to participate on the department’s hiring interview panel for a particular recruitment cannot be selected to participate as a panel member for the MSS Structured Oral Exam. Sutter County Welfare and Social Services must use different members for each panel. It is also important to ensure a gender balance on the panel.

Structured oral examinations questions and answer guidelines are provided to Sutter County Welfare and Social Services for their review and selection. This is a critical step to ensure that the best candidates are identified for the department.

Note: If the eligible list created as a result of a recruitment is going to be merged with an existing eligible list, the same exam questions and panel must be used. If absolutely necessary, one of the original panel members can be replaced by a new panel member.

Dependent upon the number of scheduled candidates, it may be possible to hold department hiring interviews directly following the MSS structured oral exam. Should this take place, MSS staff will provide the candidate contact information to the contact or liaison for Sutter County Welfare and Social Services. It is the responsibility of the department contact to send a contact and waiver form to all scheduled candidates at least seven days prior to the scheduled MSS structured oral exam date.

Notes on structured oral exams:
- Pass points on structured oral exams are pre-set based on the rating scale pass/fail definitions.
- Structured oral exam scores are never transferred.
Bilingual Exams

Many of the clients served by employees in the Social Services and Child Support Services Departments do not speak English as their first language or do not speak English altogether. Counties are required by the Dymally-Alatorre Act to provide a substantial number of qualified bilingual staff to ensure provision of information and services to the public in the language of the non-English speaking client. Before a candidate can be hired into a bilingual position in an MSS department, he/she must demonstrate fluency in the particular language by passing a bilingual examination. It is important to note that MSS only tests for bilingual skills in the Spanish language. The Sutter County Human Resources Department is responsible for testing bilingual skills for applicants other than Spanish.

Waived Exams

It is possible that all testing be waived. For instance, if the number of qualified candidates for a particular recruitment is equal to or less than nine plus the number of vacancies, then the testing process may be waived and the qualified candidates would be placed on an eligible list. This is not automatic; Sutter County Welfare and Social Services would need to communicate their decision to waive the testing process to MSS. However, if the department would like to proceed with the testing process and receive a ranked list, this is also an option.

As of January 2015, should a testing process be waived through MSS, Sutter County Welfare and Social Services is responsible for conducting a structured interview assessment or other tool to compare the qualifications of the eligible candidates against each other. The department is instructed to retain records regarding the choice of assessment method and the candidate comparisons.

Merged Eligible Lists

Prior to initiating a recruitment, Sutter County Welfare and Social Services may request to merge a new group of candidates onto an existing eligible list because there are few viable candidates under consideration, or the department would like the option of looking at additional candidates. The bulletin will state that the list will be merged; the same exam process must be followed for both candidate groups regardless of the number of approved candidates. If a written exam was administered in order to establish the first list, the same version of the written exam must be used and the pass point must be the same. If a structured oral exam was administered for the first list, the same structured oral exam must be used, as well as the same panel (although one panel member may be substituted if absolutely necessary).

If the original list was established by waiving all or part of the testing process, but merging more candidates onto the list would exceed the “nine plus the number of vacancies” rule, all candidates must be tested, including those on the existing list who were not previously tested along with the new candidates. This is necessary to establish ranking.
Eligible Lists

Once all exams have been scored, MSS staff will generate an eligible list with the names and scores of successful candidates placed in rank order from the highest passing score to the lowest passing score. The Sutter County Welfare and Social Services contact/liaison will be notified via email that the list is available online. Although it is encouraged to schedule department hiring interviews for as many as possible, each appointment must be made from the top ten scores. If there is a tie at the 10th score, all ties in 10th score can be considered for appointment. When there are multiple vacancies to be filled, Sutter County Welfare and Social Services must always consider the top ten available and interested eligibles for each vacancy.

List Usage

As long as a previous list has not been replaced by a new recruitment, Sutter County Welfare and Social Services is allowed to use an old list to make hires. MSS eligible lists never expire, they can only be merged or replaced. List usage is also tied to the number of vacancies. For example, if Sutter County Welfare and Social Services has one vacancy and if that one vacancy is filled, the list is recertified so that everyone remaining on the list can be considered for future vacancies should the list be used again.

After an eligible list is established, the list is placed online for the department’s use. If a list is ranked, hiring interviews are recommended by MSS, but not required by LAPS as long as the hire is made within the top ten scores, with ties being at the 10th score. As previously mentioned, if a list is not ranked and meets the criteria, as of January 2015, should a testing process be waived through MSS, Sutter County Welfare and Social Services is responsible for conducting a structured interview assessment or other tool to compare the qualifications of the eligible candidates against each other. The department is instructed to retain records regarding the choice of assessment method and the candidate comparisons.

MSS is not involved in Sutter County Welfare and Social Services hiring interviews or the decision on who to hire. MSS only monitors if the appointment is made within the top ten.

Responding to Candidate Appeals/Complaints

If a candidate believes that he/she has been discriminated against in the testing process, he/she may contact MSS or submit a formal appeal to CalHR. Should the department receive a complaint or appeal regarding a testing process, they should be referred to the MSS consultant and provided with the contact information for CalHR. Appeal language is also listed on failed test notifications, not qualified notifications, disciplinary letters, and the MSS website.
Please feel free to contact me if you have any questions or would like to discuss any aspects of the MSS process in more detail.

Sincerely,

Charlene Harris, MSS Principal Consultant
cc: Sheri Waters, MSS Senior Consultant
     MSS file
August 17, 2015

Honorable Brian R. Aronson - Presiding Judge
Superior Court of California
County of Sutter


I would like to thank each grand jury member for taking time out of their personal lives to serve on the Grand Jury. The Grand Jury is an integral part in acting as a check and balance for government agencies by our citizens and like others, this grand jury expended tremendous effort in their investigations of the issues at hand. I concur with many of the findings and recommendations in the Grand Jury report. However, there are areas in which I partially concur with a clarifying notation.

SUTTER COUNTY JAIL MEDICAL

Findings:
F1: The soaring cost of jail medical, will have a negative impact on other critical county services.

Recommendations:
R1: Pursuant to Penal Code section 4011.2, the Sutter County Sheriff shall charge inmates a co-pay of $3.00 for each inmate-initiated medical visit. The Sheriff in conjunction with the Assistant Director for Health shall assess a fee for over-the-counter medications per dose.

Response:
F1: I concur, medical costs continue to rise and as the County only has a finite amount of funding available to it, it probably will have a negative impact on other services. I am aware however that the County is exploring areas such contracting out some medical services in an effort to control costs.

R1: I concur with the finding and recommendation. Notation: this recommendation has been in use since 2006-2007. I refer to the Sutter County Jail Policy manual, section J147.20. The inmate is also alerted to this policy via the jail inmate handbook which is distributed to all inmates upon housing as the jail.
J147.20 - BILLS FOR MEDICAL SERVICES
Pursuant to Penal Code 4011.2, the Sutter County Jail will debit an inmate's commissary account the amount of three dollars ($3.00) for each health care visit when authorized to do so by a Health Services staff member. The procedure for doing so is as follows:
[1] Inmate "Requests for Medical Attention" (sick call slips) will be solicited daily and acted upon by trained medical personnel, followed by appropriate triage and treatment by qualified medical personnel.
[2] Inmate initiated medical visits will result in a medical visit fee of $0 to $3.00 per visit.
[3] Inmate medical-visit fees will be exempt for the following care:
   a. Intake medical screening
   b. Initial Health Assessments
   c. Public health evaluations
   d. Prenatal services and all other services related to pregnancy
   e. Public health programs that are funded by other sources
   f. Laboratory and diagnostic services that are medically necessary
   g. Emergency services for life-threatening medical emergencies
   h. Follow-up monitoring of serious chronic health conditions (e.g., diabetes, hypertension, seizure monitoring, medications monitoring)
   i. Referral visits made by Jail Medical Services staff
   j. Mental health services

[4] Dental services that are inmate-initiated and are non-emergency or non-life threatening will result in the $0 to $3.00 medical visit fee (as an inmate-initiated request for medical services) unless the dental service is the result of a referral by Jail Medical Services for medically necessary healthcare.
[5] Medical staff will evaluate each sick call visit and determine if it meets the criteria for a medical visit fee. If the medical service meets the medical visit fee criteria, medical staff will identify those inmates receiving billable services on the daily sick call list and then forward the names to jail staff. Upon receipt of the names of inmates receiving billable services, the jail staff will debit each inmate's account for the $0 to $3.00 medical visit fee. Jail staff shall issue each billed inmate a copy of their sick slip as a "Notice of Charge for the Inmate Services".
[6] No inmate will be deprived of medical service as a result of being indigent or for an inability to pay. The accounts of indigent inmates and those unable to pay will be debited and the medical visit fee will remain on the books for six (6) months or until the inmate's account receives funds against which the payment can be made. 204
[7] Inmates may use the grievance procedure for protesting any fee for health service. All bills for medical care will be reviewed and verified by Jail Medical Services staff.

I should be noted that the reason we charge $0 to $3.00 is that sometimes the inmate may have less than the $3.00 fee in their jail account.

Regarding over-the-counter medications such as aspirin, Tylenol, Nyquil, etc., these items can be purchased directly by the inmate through the commissary system and other
than perhaps an infrequent single dose when seeing a nurse, they are referred to their commissary menu to purchase these items.

**COMMUNICATIONS AND PROMOTIONAL OPPORTUNITIES**

**SUTTER COUNTY SHERIFF’S OFFICE**

**Findings:**
F1: Communications between the ranks is viewed as not permissible
F2: Staff appears unclear as to the expectations required to promote throughout the Sheriff’s Office.

**Recommendations:**
R1: *Upper management should avail themselves to line staff. This could include regular meetings with staff of various ranks, periodic checking in within each department by physically visiting each area within the department and reminding staff that they can speak to any level of management without fear of reprisal.*

R2: *Promotional Policies, including the necessary steps, should be uniform and disseminated to all staff. This includes what methods, written, oral or practical exercises will be utilized for the selection of staff. Staff should also be aware of what constitutes a passing grade.*

R3: *Sutter County should consider implementing the “Community Oral Board.” This will help eliminate the appearance of any bias during the selection. This will also help solidify the idea that the promotional practice is fair as the panel contains outside members.*

**Responses:**

F1: We partially disagree with this finding. While there is no doubt some personnel at the sheriff’s office feel communication is impermissible or could be improved upon, there are some that this is not an issue. Thus, the statement that communication is “not permissible” is overly broad and “between the ranks” is ambiguous as ranks entail Deputy/Officer, Sergeant, Lieutenant, Captain, Undersheriff and Sheriff. I can categorically state that communication between Deputies and Sergeants is an ongoing and daily occurrence, and communication between Lieutenant, Captain, Undersheriff and Sheriff also occurs all day, every day. That said, the Sheriff’s office, like all law enforcement agencies is a quasi-military organization that relies heavily on chain-of-command to conduct day to day operations. As such, there is inherently a formal procedure of communications between the ranks. The chain-of-command is built into and referred to no less than 15 times in the Sheriff’s Operations Manual.

However, we will make the assumption that this finding is concerned mainly with communication or lack thereof between the rank and file employee and upper
management. In that I will only state that we will agree that maintaining meaningful communication between management and the rank and file is an ongoing process that requires a certain amount of maintenance of effort and this effort can always be improved upon. One of the ways we try to keep communications open is by involving the rank and file in developing departmental policy. Almost all policies originate and/or are written by deputies or sergeants and ultimately and approved by the Sheriff. It is the policy of the department to push decision making down to the lowest level of the chain of command as is appropriate. As an illustration, the following major policies originated from or received significant input from the “bottom up”:

- Vehicle Pursuit Policy
- The Traffic Accident Policy
- The Active Shooter Policy
- Identity Theft Policy
- Farm ID program
- Car setup committee to determine how the patrol cars are set up
- The 12 hour shift plan that the deputies work came from the deputy level.
- The Operations Manual update committee is at the Sergeant level.
- The uniform committees that modifies the departmental uniforms.
- The policy change regarding allowing bullet proof exterior load carrying vests.
- Every special team such as Canine, SED (SWAT), Bike Patrol, Swift Water Rescue, Hostage negotiations, Field Training, are all run by committee of line staff and only overseen by administrative personnel.
- Taser use and deployment policy
- Oleoresin Capsicum (OC) pepper spray policy
- Tactical Medical Support policy

All the above policies originate at the line staff level and then are sent up the chain of command for approval and adoption.

Additionally, each division (Patrol/Detective & Corrections) holds monthly sergeants meetings in where the concerns, suggestions and information from line staff (deputies and correctional officers) are shared via their Sergeants among the other Sergeants, Lieutenant and Captain and often Undersheriff who are also in attendance. The communications from these monthly meetings are in-turn communicated to all the other Lieutenants, Captains, Undersheriff and Sheriff in the weekly command staff meeting.

F2: We partially disagree with this finding. Again, while there is no doubt that that some employees are unclear as to promotional processes, it seems that the vast majority of employees successfully negotiate the process. Additionally, the promotional position, job duties, minimum qualifications, knowledge, ability, education and experience requirements are clearly spelled out in the promotional job flyers.
R1: I concur with the recommendation and refer to the response in Finding 1. I do point out that I have and always have had an "open door" policy and I am often visited by line staff, supervisors and others, but I will further observe and admit that over the past few years as we have had normal numbers of turnover and new employees in the work force, there are many that I do not know as well as most of the people that have worked here for more than a couple of years. Keeping a connection with the troops requires maintenance of effort, and again, there is always room for improvement. We will in the coming year increase our effort to have management periodically attend shift briefings of the various ranks and departments in increase communications.

R2. Over the past several years, promotional test have been uniform in that they are comprised of a P.O.S.T. (Peace Officer Standards of Training) written test (pass/fail), two double blind written exercises graded by someone (usually an English teacher) outside of the department, and an oral examination. We do not, nor have we ever disseminated passing/failing grades nor have we ever as far as I am aware of. Only once since 1991 was the POST written test not included in the testing procedure. This was before my administration and I believe it generated a feeling of confusion at the time. This has not been the case since my taking office in 2008 and I do not see a need to deviate from current established policy. I will continue to implement the promotional policy consisting of the following steps as recommended in the Grand Jury Report:

- POST written exam
- Two or three practical exercises
- An oral examination as suggested in the Grand Jury report.

R3: I concur with the Grand Jury on this recommendation and we will include Command Staff from surrounding agencies in the next promotional examination.

This concludes the Sheriff-Coroner-Public Administrator’s response to the findings and recommendations of the 2014-2015 Sutter County Grand Jury Final Report.

Respectfully submitted,

J. PAUL PARKER
SHERIFF-CORONER

cc: Sutter County Board of Supervisors
James M. Arkens, County Administrative Officer