

---

**AUDIT FOLLOW-UP**  
**AFU-0001-2000**



Snohomish County  
Performance Audit Division

---

# **Report - Audit Follow-up**

**Issued to:**

**PERFORMANCE AUDIT COMMITTEE**

**January 30, 2001**

**Issued By:**

**Performance Audit Division**



---

**Snohomish County**  
**Auditor's Office**  
*Performance Audit Division*

**To:** Performance Audit Committee  
**From:** Dean Ritchhart  
**Date:** January 30, 2001  
**Subject:** Audit Follow-up

**Bob Terwilliger**  
*County Auditor*  
  
Carolyn Ableman  
*Chief Deputy Auditor*  
  
M/S #505  
3000 Rockefeller Avenue  
Everett, WA 98201-4059  
(425) 388-3006  
FAX (425) 259-2777

---

This report by Martin T. Standel presents the results of our audit follow-up review (AUF-0001-2000). Per Snohomish County's Performance Audit Committee Policies (Policy 1.0), the Performance Audit Division is required to perform follow-up reviews on all report recommendations.

Our approach was to request from appropriate Department or Division management a written response regarding their actions or proposed actions for each recommendation made in their report. We then assessed if their written response, by recommendation, was adequate or inadequate.

Of the audits subject to a follow-up, we received management responses, prior to the January 30, 2001 Performance Audit Committee meeting, on all except the Real Estate/Property Transaction Systems (REPT) project and the Corrections Overtime audit. When responses are received, we will assess them and inform the Committee.

With the exception of the response to recommendation 2 of the SFG Integrated Financial Management System Review, all replies were adequate and no further action is deemed necessary. Recommendation 2 stated, "The County should continue to pursue actions deemed necessary to fulfill the contract requirements specified to make the System complete and then formally accept the SFG Integrated Financial Management System to bring closure to the contract." This was recommended primarily since the relational database management software (RDBMS) component of the contract had been paid for, but RDBMS problems initially documented March 28, 1996 had not been fully resolved.

The departmental response to SFG referred to the original Executive SFG review comments. The Executive response stated "At the same time, after lengthy negotiations with SFG, many issues have been resolved. Once all negotiated deliverables have been received, tested and approved, formal acceptance can take place."

Thus, the department's response did not include any status as to when negotiations would be completed, expected deliverables would be received and tested, or if the SFG system has been formally accepted. Since the response provides no evidence of closure to any part of recommendation 2, we find the response to be inadequate.

# ***Table of Contents***

Management Letter .....	i
Introduction .....	1
Background .....	2
Findings .....	2
Exhibit 1 .....	5



# *I. Introduction*

Per Snohomish County's Performance Audit Policies (Policy 1.0), the Performance Audit Division is required to perform follow-up reviews on all report recommendations. Policy 1.0 (**Follow-up Audit Reports**) states:

In accordance with Government Auditing Standards 6.12 and 6.13 (1994 Revision), the Performance Auditor will perform follow-up reviews on all report recommendations issued. This follow-up will be conducted no sooner than 6 months or no later than 1 year after the final report issue date. Follow-up reports will be formal, submitted to the Performance Audit Committee, and will contain information on the status (action or inaction) of each recommendation made and reasons why implementation has not occurred."

Government Auditing Standards, page 68, (1994 Revision) states in:

## **Chapter 6 - Field Work Standards for Performance Audits**

### **Audit Follow-Up**

**6.12** Auditors should follow up on significant findings and recommendations from previous audits that could affect the audit objectives. They should do this to determine whether timely and appropriate corrective actions have been taken by auditee officials. The audit report should disclose the status of uncorrected significant findings and recommendations from prior audits that affect the audit objectives.

**6.13** Much of the benefit from audit work is not in the findings reported or the recommendations made, but in their effective resolution. Auditee management is responsible for resolving audit findings and recommendations, and having a process to track their status can help it fulfill this responsibility. If management does not have such a process, auditors may wish to establish their own. Continued attention to significant findings and recommendations can help auditors assure that the benefits of their work are realized. "

Standards for the Professional Practice of Internal Auditing, pages 65 - 68, from The Institute of Internal Auditors (IIA) states:

**"Standard - 440 Following Up - Internal auditors should follow up to ascertain that appropriate action is taken on reported audit findings.**

Internal auditors should determine that corrective action was taken and is achieving the desired results, or that senior management or the board has assumed the risk of not taking corrective action on reported findings."



## ***II. Background***

Since this is the first formal Division effort to comply with Policy 1.0 (approved on April 27, 2000) our timeframe exceeds the one-year requirement. Since Inception, the Performance Audit Division has conducted the following projects:

- Department of Emergency Management: September 30, 1998
- Real Estate/Property Transaction Systems (REPT): April 16, 1999
- Law & Justice Survey: June 30, 1999
- Corrections Overtime: April 27, 2000
- SFG - Integrated Financial Management Systems Review: April 27, 2000
- Case Management Division Operations Review: April 27, 2000

The Division performed a follow-up review for the "The Department of Emergency Management" during the first half of 1999. The responses provided by the Department indicated satisfactory compliance with their already implemented or proposed changes. Compliance with recommendations appeared to be adequate and no further action was deemed necessary.

The remaining five projects contain 42 individual recommendations; this includes Law & Justice's 24 areas for consideration. A Complete listing of recommendations is included as Exhibit 1. On November 20, 2000 each effected Department was sent a letter requesting their written responses by December 31, 2000. On January 10, 2001, second requests were sent to those departments that did not respond.

## ***III. Findings***

The main purpose for "follow-up audits" is to provide management with feedback so if necessary additional actions can be taken. The Performance Auditor role is to review ongoing operations for efficiencies and/or compliance with applicable criteria or laws; to assess departments' procedures; and make appropriate recommendations which may enhance operations or efficiencies.

The auditor's role in follow-ups audits, essentially classified as desk audits, is to compile written responses from effected Department/Division management, assess if the written response, by recommendation, is adequate or not adequate, and relay those findings to the Performance Audit Committee.

It is management's responsibility to decide if any appropriate action should be taken in response to reported audit findings. It is also their responsibility to assume the risk by not correcting a reported condition because of cost or other considerations.



Our review of Department Management's responses follows:

- **Department of Emergency Management: September 30, 1998**  
As stated earlier, management's response is adequate.
- **Real Estate/Property Transaction Systems (REPT): April 16, 1999**  
At this time, we have not received written responses from the impacted departments and cannot determine if compliance with recommendations is adequate or inadequate.
- **Law & Justice Survey: June 30, 1999**  
This project was a review, with areas for consideration vs. recommendations. While no responses were provided, we note the County adopted the proposed consideration to move the Assigned Counsel from Corrections.
- **Corrections Overtime: April 27, 2000**  
At this time, we have not received written responses from the impacted department and cannot determine if compliance with recommendations is adequate or inadequate.
- **SFG - Integrated Financial Management Systems Review: April 27, 2000**  
This project identified 11 separate recommendations, of which 9 dealt with project management issues. The Department's responses to these appear to be adequate and no further action is deemed necessary.

Of the remaining two recommendations, recommendation 1 dealt with securing an acceptable RDBMS software replacement package for Sybase. The Department's response appears to be adequate and no further action is deemed necessary.

Recommendation 2 dealt with pursuing necessary actions to fulfill the contract requirements; specifically to make the SFG system complete and formally accept it. The Department's response referred to the original Executive SFG review comments. The Executive response stated, "At the same time, after lengthy negotiations with SFG, many issues have been resolved. Once all negotiated deliverables have been received, tested and approved, formal acceptance can take place."

The Department's response did not include any current status as to when negotiations would be completed, expected deliverables would be received and tested, or if the SFG system has been formally accepted. The response provides no evidence of closure to any part of recommendation 2. Therefore, we find management's response to recommendation number 2 to be inadequate.



- **Case Management Division Operations Review: April 27, 2000**  
Compliance with recommendations appeared to be adequate and no further action is deemed necessary.



## EXHIBIT 1

### Department of Emergency Management: September 30, 1998

**Recommendations:** It is our recommendation that the Department of Emergency Management implement formal written policies and procedures to correct the following weakness within their internal control systems. Implement formal written policies and procedures pertaining to:

#### **Credit Card Use:**

- Credit card use should be limited to departmental business use only and at those times when normal procedures for purchases can not be met due to an emergency or in situations of major inconvenience. Credit cards should not be used to purchase capital equipment such as computers and or operating supplies such as work gloves. At no time should their use be for personal expenditures.
- Credit cards should not be used to purchase airline tickets except in an emergency or in situations of major inconvenience. At no time, should credit cards be used to purchase airline tickets for normal planned travel occurrences.
- The department should consider establishing on going relationships with vendors and travel agencies to purchase supplies and meet travel needs. These purchases should be paid by means of vouchers upon receipt of invoices from the vendor or travel agent.
- Authorization limits: The department should develop expenditure authorization levels for its staff, assistant director, and director. This is a basic requirement to assure adequate authority and internal controls.

#### **Reimbursable and allowable expenses for meetings, conferences and conventions:**

- Establish uniform policy and procedures for clearly defined allowable expenses. Also delineate what is not allowable as reimbursable to staff and managers.
- When any staff employee, the assistant director, or the director attends a breakfast, lunch or dinner meeting, the receipt for the related expenditure must identify who attended, for what purpose and why the department paid for the expenditure.
- Develop policies on authority and circumstances for use of departmental funds to pay for lodging and food for business meetings, conferences, and conventions.





## EXHIBIT 1

When authorized to stay overnight, staff and managers should be instructed to always request government rates.

### **Policies on cellular and vehicle use:**

- Develop specific policies for vehicle use. Determine under what circumstance a vehicle can be used when staff, the assistant director, or the director is not on weekend call Duty.
- Develop policies on cellular telephone use. Since these units are attached to the department's vehicles, personal use should be limited to situations that are consistent with good judgement.

### **Other major purchases:**

- We recommend that purchases of computers and equipment be billed directly to the department and paid by voucher process.

### **Real Estate/Property Transaction System (REPT): April 16, 1999**

**Recommendation 1:** We recommend that each department on an annual basis reconcile their books to Facilities Management's master list. Those differences, if identified, should be reviewed and corrected within the department and at Facilities Management.

**Recommendation 2:** We recommend that the county develop and implement a central file system, which would contain a complete history for each specific property. The file system should have a unique identifier and be accessible through the county information systems.

**Recommendation 3:** We recommend that the county establish a property option purchase fund, which can be used to secure the ability to buy a specific property, and allow time for due diligence and or time necessary for council/executive approvals. This will allow the county to have first refusal and ample time for due diligence.

**Recommendation 4:** We recommend that Facilities Management take a more active role in assisting, reviewing and ensuring that each department is adhering to standard property acquisitions. These standard procedures should include file organization, checklists and reporting requirements to Property Management.



## EXHIBIT 1

**Recommendation 5:** We recommend that the Snohomish County Executive and Council amend this county code (SCC 2.50.140) to include purchases so as to maintain the fairness doctrine and to assure Snohomish County citizens that county employees, appointed or elected officials do not use county information to benefit themselves financially. The county should prohibit the purchase or sale of any goods and or real property from its employees, appointed or elected officials.

**Recommendation Parks 1, Airport 1, PDS 1, and PW 1:** We recommend that files containing property transactions be organized along the lines of the departments acquisition checklist. The first page of the file could show the checklist with signed dates indicating completion of that requirement.

**Recommendation PDS 2:** We recommend that the “Delegation Signature Authority” for the Director of PDS and or the Director’s Deputy be revised to include the ability to approve these short plat easements/road dedications as long as they do not conflict with SCC 13.70.010(2).

### **Law & Justice Survey: June 30, 1999**

**Consideration 1:** Snohomish County should develop an understanding of and commitment to a more coordinated and planned approach to the management of the Law & Justice System.

**Consideration 1-A:** Design and implement a Law & Justice System Management Information System that addresses key process management issues that are both systems-wide and within each L&J organization.

**Consideration 1-B:** Reconsider the merits of “integrating information systems”. Consider the use of “data warehousing” as an alternative.

**Consideration 1-C:** Plan future applied technology projects within the context of a long range strategic planning process.

**Consideration 1-D:** Provide support to departmental initiatives designed to improve resource utilization that have been advanced by the department or requested by L&J organization managers.

**Consideration 1-E:** Consider the feasibility of implementing ideas supported by the analyses presented in the following report section.

Each specific consideration for future action is followed by a summary of the preliminary analysis of each issue. Managers in the L&J departments advanced



## EXHIBIT 1

most of these ideas. However, the analysis was provided by the Performance Auditor's staff. The new L&J advisory committee, if implemented, should address those issues that would impact two or more L&J departments. For those ideas only impacting one department, the manager of that department should either advance the idea or determine it is not feasible.

1. The Sheriff's office should work closely with the committee that is implementing the CAPS pilot information system. By providing better and more timely information to the Sheriff on the scheduling of court appearances by deputies, overtime resulting from this activity can be reduced. We understand the CAPS system has the capability to provide improved resource scheduling of all parties involved in court matters.

The Sheriff's Office overtime budget is in excess of \$1.4 million annually and is growing at a faster rate than any other part of the department's budget. Overtime dollars are one and half time base dollars for each hour claimed. If 10 percent of the office's overtime budget results from court appearances (which result in excessive lost or non-productive time), scheduling improvements could result in annual savings approaching \$140,000.

2. The group responsible for assigned counsel services should work in conjunction with the courts to consider changing their service fee approach to be similar to that currently being utilized by King County.

Presently, Assigned Counsel is under the supervision of Corrections. Assigned Counsel is responsible for Indigent Defense Services, which are defined under RCW 10.101.

RCW 10.101.020 – "Determination of indigency – Provisional appointment – Promissory note". RCW 10.101.020(5) states, "All persons determined to be indigent and able to contribute shall be required to execute a promissory note at the time counsel is appointed." The RCW further states, "The person shall be informed whether payment shall be made in the form of a lump sum payment or periodic payments."

Snohomish County Assigned Counsel's budget for indigent defense totaled over \$2.5 million last year. The department interviewed over 11,000 individuals and provided assistance to all that were eligible. Total collections per RCW 10.101.020(5) during the same period totaled only \$45,000.

To adhere to the spirit of RCW 10.101, this fee would be waived if individual income/assets were below the federal poverty guidelines. If the fee structure is



## EXHIBIT 1

similar to the one in effect in King County and if forty percent of the individuals interviewed were required to pay \$20, total revenue received would be about \$90,000, or twice the current collection. King County has had great success with no known legal challenges

3. Consideration should be given to changing the organizational placement of the Assigned Counsel function. RCW 10.101.040 in part states, under Selection of Defense Attorneys, “City attorneys, county prosecutors, and law enforcement officers shall not select the attorneys who will provide indigent defense services.” At present, this service is under the management of the Corrections division, which is a law enforcement body. Aside from this issue, we believe communications and coordination could be improved since managing this function is a distraction to the main Corrections’ mission.

4. The District Court should consider a job classification, which provides a premium for new court administrative personnel who speak a second language with the proficiency to serve as interpreters for those who require such services. This would not replace the need for “certified” interpreters, but would provide improved communications capabilities during day-to-day operations and, on occasion, in a formal court-supporting role. This approach could apply for both superior and district courts.

Snohomish County is one of the fastest growing state counties. It is estimated for the foreseeable future, the county will be adding 12,000 new residents each year. To put that number in perspective, that is adding a new City of Everett every 7 years.

As more individuals move into the county to take advantage of its economy and quality of life, the county’s diversity is changing. Along with the many benefits of increased diversity, comes the challenge of serving citizens whose second language is English.

One of the fastest growing budget items for the District Court is the cost for interpreters. This cost has grown from zero a few years ago to a cost approaching \$75,000 annually.

5. Consideration should be given to adding a job classification to the district court to address the need for a “floater” type position that could move between court locations to provide routine administrative support services when workloads shift. This should reduce the overall staffing cost and provide the court administrator with more flexibility in dealing with this issue.



## EXHIBIT 1

The District Court is currently being consolidated to increase its efficiency and where possible, reduce or eliminate redundancy. Over the past several years, the District Court was the only L&J organization that actually saw a staff reduction. This was the result of improved technologies along with efficient administration. However, the court has faced the situation where workloads and staffing were out of balance.

This added position classification would allow more flexibility to move staff to respond to workload shifts between court locations. Savings would not come from an elimination of current staff, but having a more flexible staffing structure may reduce the need to hire additional staff in the future. Each new position, which could be avoided, would result in a net savings of \$30,000 annually.

6. The district court should work with the Sheriff's office to determine how to improve the current process of updating databases when outstanding warrants are paid. We understand the present time lag between payment and recording provides a potential for unwarranted arrests.

The District Court is the first point of contact for most citizens when they receive a warrant for an outstanding ticket. Payments to the District Court to clear these outstanding warrants are not immediately entered into the state computer system and cleared. In fact, it is possible for an individual to pay their fine, get stopped on their way home and the warrant would still be listed as outstanding. The current process involves forwarding the information to the Sheriff's Office so that their administrative staff inputs the data into the database. This input process can take from several days to weeks based on their workload.

7. The Corrections Department, working with the executive's office, should develop new strategies and policies regarding overtime management to address both the cost issues and the additional stress on staff resulting from mandatory overtime.

The capacity of Snohomish County Correction facilities currently is at 659. This is made up of 477 at the main jail, 60 at the jail annex, 72 at special detention and 50 at the fairgrounds. Current daily population for the past several months has ranged from a high of 824 to a low of 655, with the average daily population standing around 700. This has required an average population of around 65 inmates to be housed outside the county at an annual cost of over \$1.4 million.

The nature of jail operations requires, at present, a specific number or ratio of Correction Officers to inmates, 24 hours, seven days a week. This mandated staffing requirement resulted in increased mandatory overtime for the past several years. Levels of overtime have been increasing at a rate faster than projected in the annual budget. Last year's overtime was in excess of \$824,000.



## EXHIBIT 1

Overtime is paid at one and half times the regular salary base. Last year's overtime budget was equal to 23 fulltime employees including their benefits. We recommend the cost implication of reducing overtime due to staff shortages be reevaluated. Consideration should be given to future growth requirements such as the new regional justice center under review. We estimate cost savings would be greater than \$250,000 annually based on current overtime trends. In addition to the cost savings, there are also the benefits associated with improved moral as a result of not having mandatory 16-hour days, and improved health and safety of the officers.

8. All parties concerned, working through the committee concept, should address the issue of jail crowding and increased trends in length of stay. Consideration should be given to improved ways to manage inmate processing through the system to include improved communications, improved transportation, and alternatives to incarceration. King County's approach and experience in this area over the past several years should be studied, as well as other research.

The average length of stay by inmates at Snohomish County Corrections Facilities has increased each year. The reasons for this are many and extremely complex, and range from legislative mandates to administrative inefficiencies. Whatever the reason, the average length of stay increased over 20 percent since 1992. During this same period, the average length of stay in King County increased by over 28 percent.

An example of an administrative measure that can help is to increase the use of e-mail or fax machines at all locations which issue court orders to speed up the timely release of inmates vs. waiting for historical information channels.

If the Corrections Department reduced the average length of stay to the 1992 levels, that alone would free up over 100 beds per day. This in turn would allow the county to house all current inmates in our own facilities, thus saving the cost to house them elsewhere. Based on an average population housed outside of 65, the County would save over \$1.4 million annually.

Over the next several years it will take to plan, design and build the new regional justice center, savings could be in excess of \$9.5 million dollars. That amount would equal 20 percent of the new jail construction costs.

9. Consideration should be given to the establishment of procedures to offload non-emergency calls from the 911 system to reduce incidents of potential resource shortages, deal with true emergencies and reduce costs.



## EXHIBIT 1

Snohomish County through its service provider, SNOPAC, received over 400,000 calls last year. This does not take into consideration calls received by SNOCOM, the City of Marysville, and the State Patrol. Calls to 911 increased from 1 per 4 in population to one call for each 1.5 in population, on average. As call volume increased, so has the percentage and number of non-emergency calls.

While this may not reduce staffing levels, the cost of an information operator is less than the cost of 911-trained computer technician. Although this would save county the cost difference between the pay scales, more importantly, this should reduce the number of cases where true emergency calls may be delayed because of the increasing volume of non-emergency ones.

10. All L&J organization's should work together to address the issue of duplicate data entry into systems that support the management of all aspects of the law & justice system. This will require a concerted task force approach while considering research from neighboring counties that actively addressed this issue over the past several years. (Actively involve the Department of Information Services in this effort.)

Our review and discussions with other counties, points to conclusions that true integrated systems throughout L&J are impractical, and not necessary. However, the county needs to establish some system interfaces with all of the L&J system owners ranging from county organizations to state and federal agencies.

The county should consider hybrid systems and/or a database warehouse approach to data management. Multnomah County in Oregon and King County support these concepts. Cost benefits associated with such approaches would be a reduction in future position growth involved in managing the paper flow and data entry into the existing systems.

11. The county should consider the establishment of a reserve fund to handle the future purchase of computers and other technology to support all L&J departments. This would improve the planning and budgeting for these valuable resources, and also provide for uninterrupted service to those who depend upon these increasingly critical resources.

Years ago, when the county needed a new patrol or other county vehicle, funds would be transferred from the current budget. In essence, the county was on a current cash basis when it came to purchasing these capital items.

As experience was gained and a fuller understanding of the costs and maintenance associated with county vehicles, the county developed reserve funds for purchase, replacement and repair. The county is now facing these same issues with computer



## EXHIBIT 1

technology. Starting with a few PC's several years ago, we entered a world where each individual is or will be connected to a network and have access to PC's or terminals. The costs linked to this world are large, and growing. Maintenance and replacement will continue to grow at rates which far outstrip the needs and capability built into the current budget process.

Due to the significant costs involved, we recommend reserve fund rates be developed. Over a period of three to five years, the county needs to be in the position of replacing and updating its technology as currently is done with vehicles.

**Consideration 1-F:** Expand Participation in Efforts by L&J Agencies to work together on management issues of common concern.

**Consideration 1-G:** Develop cost of service measures which are meaningful to each organization.

**Consideration 2:** "Barriers" - Snohomish County should initiate a formal education program with goals of advancing public understanding of all aspects of law & justice administration.

**Consideration 2-A:** Establish a coordinated and intensive organizational approach to the management of law & justice system issues.

**Consideration 2-B:** A new Law & Justice Policy Committee should address county policies that constrain the achievement of wanted and needed changes.

**Consideration 2-C:** The Law & Justice Policy Committee should work with the County Executive to develop and make available clear statements on each year's county supported legislative initiatives.

**Consideration 2-D:** A Law & Justice Resource Management Committee should address the issues of resource constraints in all areas.

**Consideration 3:** A strategic plan should be developed to address all key law & justice management issues. Create a committee structure within the Law & Justice Council to lead this planning effort.

**Consideration 3-A:** As a first priority, near-term planning efforts should identify budget initiatives for the fiscal year 2000 which represent system-wide L&J programs. The new committee must support these programs.





## EXHIBIT 1

**Consideration 3-B:** Develop a Revised Capital Improvement Program for Law & Justice agencies to deal with system-wide issues.

**Consideration 4-A:** Through a collaborative effort, the County Executive, County Council, and managers of the nine Law & Justice organizations should decide on a management process for:

Strategic planning (long range planning for all L&J needs); would work closely with the L&J Council;

Coordination of issues requiring joint decision-making;

Communication of L7J agency consideration for future actions to the executive and/or council for actions in support of their needs; and

Working relationships consistent with good management practices.

**Consideration 4-B:** Models for similar system-wide management processes that have been established by other municipalities such as Multnomah County, Oregon and King County, Washington should be considered when developing alternative decision making models.

**Consideration 4-C:** Develop a clear statement of vision for the new management process.

**Consideration 4-D:** Establish small working groups to address specific tasks identified by the Law & Justice Committee.

**Consideration 4-E:** Seek active participation and/or input from other experts in the community either for technical or stakeholder input.

**Consideration 4-F:** Employ strong project management principals to each project or task that is addressed within work groups, task force efforts, or sub-committees.

**Consideration 4-G:** Formally commit resources toward the means of selecting a group or team management process.

**Consideration 4-H:** Consideration should be given to the option of hiring temporary staff to provide technical support.



## EXHIBIT 1

### Corrections Overtime: April 27, 2000

**Recommendation No. 1:** We recommend Corrections consider establishing a new formalized scheduling process, and expand current data gathering techniques. Correction managers could better manage the workload and Corrections staffing by collecting and analyzing more information. Through the use of a formal scheduling process, Corrections could expand their ability to monitor and measure staffing needs, patterns and requirements.

**Recommendation No. 2:** We recommend County and Corrections management in partnership review the workload needs for the Corrections Department. Then through the use of additional Corrections staffing and overtime data, they could improve scheduling practices and implement more cost-effective staff and overtime scheduling changes.

**Recommendation No. 3:** We recommend Corrections in conjunction with Local Union No. 763 continue their dialog and relationship that allows maximum overtime flexibility regarding the length of overtime performed.

**Recommendation No. 4:** We recommend Corrections in conjunction with Local Union No. 763 continue their dialog to modify Article V. 5.4.4 regarding overtime and extra work to allow more equal distribution of required overtime hours among all Corrections staff.

**Recommendation No. 5:** We recommend Corrections continue and expand the hiring of part-time Corrections Officers for their own Department, and continue discussion with the union to foster this process.

**Recommendation No. 6:** We recommend additional Corrections Officers be hired, in addition to the 11 slated for 2000. While our baseline staffing model suggests this number should approximate 10 additional FTE's, we feel the department should verify our analysis prior to any action using data from the expanded scheduling process.

**Recommendation No. 7:** We recommend employees and supervisors fill out completely and sign timesheets and Overtime/Extra Pay Authorizations. Our review showed that up to 39 percent of employees and 5 percent of supervisors did not sign employee timesheets. Our review also showed on several occasions, overtime forms were not filled out or signed by the supervisor.



## EXHIBIT 1

### **SFG - Integrated Financial Management System Review: April 27, 2000**

#### **Overall Status of System Implementation**

1. Expedite project completion; move quickly toward decisions to secure an acceptable RDBMS software so custom or ad hoc reporting can be achieved, and complete those components which require that software to function.

#### **Status of Contract Compliance/Issues and Problems**

2. The County should continue to pursue actions deemed necessary to fulfill the contract requirements specified to make the System complete and then formally accept the SFG Integrated Financial Management System to bring closure to the contract.

#### **Implementation Progress and Issues**

3. Develop or enhance SFG training programs to ensure users and their designated backups are well trained and help prepare them for future system advances including when a new RDBMS component is secured and becomes operational. Continue to periodically survey users to determine where training is needed and better respond to user needs.

4. Continue to address the internal control issues identified by the State Auditor in management letters and findings reports.

5. For large-scale, countywide, computer-based project implementation, assign a dedicated, experienced, and formally trained DIS project manager as standard policy and practice.

6. Address project management shortcomings as identified by Colin Bottem and his Committee in his report to the County Council in response to Budget Item 8. Consider revising the appropriate County Code which addresses these issues (SCC) 2.350.030, to reflect new policies and practices relative to project management, and finalize a statement of authority and responsibility for the Department of Information Services relative to the management of computer networks, systems, development activities and implementation activities.

7. Decisions on all future major planned projects, involving computer systems or not, should be supported by a comprehensive cost/benefit analysis covering all traditional areas such as technical feasibility, and all costs whether they be contractor or internal costs. Furthermore, such feasibility studies should include an assessment



## EXHIBIT 1

of risks the County faces if the project is pursued and/or implemented; contain alternatives and risk abatement plans; and all should be included in final recommendations to the Council.

8. The County should authorize development of a formal Project Management policy, practice, and procedures manual. This manual should assist future project managers and staff assigned in performing prescribed tasks according to a pre-approved process.

### A. Additional Support

9. Ensure system training is on going and comprehensive, and training budgets are adequate for trainers and users to achieve this.

10. If not already done, DIS should formalize and document their current, formal user response process; this process should contain a timeframe for responses and a method to keep concerned parties updated regarding final problem resolution.

**Note:** We recognize DIS established an end-user response process that appears acceptable. DIS management is actively involved in dispute resolution between the County and SFG and takes an active role in attempting to resolve user concerns. SFG does have a Web page it weekly updates with technical information and there is a Northwest SFG User Group, which convenes to assist in solving problems

### B. Other Issues: Not related to specific project objectives

11. Consider developing a formal “systems newsletter,” or some similar communication vehicle to keep county employees, system administrators, and system managers even better informed. Focus on positive accomplishments and future plans for improvements, additional training, enhancements, etc.

## Case Management Division Operations Review: April 27, 2000

### Cross Training:

**Recommendation CT1** – Recommend you continue the existing, effective specialized training program and consider process improvements as they become available.

**Recommendation CT2** – CMD management standardize how docketing guides are organized and regularly updated.



## EXHIBIT 1

### **Communication - Internal:**

Recommendation CI1 – The CMD manager should continue current communication efforts and foster this attitude with leads and supervisors.

Recommendation CI2 – Since CMD employees expressed interest in internal problem solving, management might support their additional involvement in division process improvement since this could lead to innovations that would further increase productivity and improve morale.

### **Communication - External:**

**Recommendation CE1** – Consider staff use a “log” sheet to track their communications efforts, noting problems resolved, ongoing concerns that need to be elevated to division leadership, and communication successes and failures. This log would provide staff a personal communication journal, and might provide staff insight and greater ownership of their communication efforts.

**Recommendation CE2a** – The “Lead-to-Lead” emphasis to solve problems might be delegated to a more direct “Staff-to-Staff” process. This could improve worker interaction between departments and resolve some problems more quickly.

**Recommendation CE2b** – All Clerk personnel should become more exposed to the complexities of other Clerk division tasks and the workers who perform them. (NOTE: This suggestion was recommended in the CSA with comments like “meet more regularly between departments,” “better understand other departments’ jobs, and “resolve barriers to teamwork.” Further, individual interviews with personnel in and across divisions revealed a need for better understanding of one another’s jobs, with several people quoting “people need to walk a mile in my shoes.” Several individuals noted a tendency to “point fingers” since people tended to think their division’s responsibilities were the most difficult and others’ problems were simply the fact “they didn’t understand.”)

**Recommendation CE3a** – The Clerk should consider more frequent use of the “management-by-walking-around” (MBWA) leadership approach. This approach would add emphasis to the existing “open door policy” by creating additional opportunities to communicate with staff more directly.

**Recommendation CE3b** – The Clerk should reemphasize to all managers the importance of timely feedback to staff problems. (NOTE: This does not mean staff are always going to get answers they like, nor will all problems be resolved quickly,



## EXHIBIT 1

but personnel might get more timely response/status regarding their concerns including those needing resolution at higher levels.)

### **Performance Standards:**

**Recommendation PS1** – When procedure manuals are updated, ensure specific State and local Superior Court rules and Clerk’s Office time and performance standards are included.

**Recommendation PS2** – We recommend CMD management continue its work with other Clerk divisions and agencies with whom CMD interfaces regularly to routinely track any CMD errors and report them. (NOTE: CMD management can facilitate this ongoing effort by continuing to discuss with division and/or agency managers what their concerns are regarding CMD performance, and develop “tracking sheets” and procedures to help insure feedback is provided.)

### **Technical Support:**

**Recommendation TS1a** – Recommend the Clerk’s office train, or utilize an already technically competent person in each division to perform minor, miscellaneous DIS support. This might include the requirement of getting technical “permissions” through DIS to load software, as well as practical training on changing printer cartridges, etc.

**Recommendation TS1b** – Recommend the Clerk’s office request that existing DIS support personnel provide more formal responses regarding job/technical problem status. Suggest responses be communicated initially in writing or email, and the responses note the estimated time necessary to resolve problems. Recommend updates be provided if exigencies preclude task completion.

### **Paperwork Improvement:**

**Recommendation PI1** – CMD management continue their metrics efforts.

**Recommendation PI2** – We recommend the Prosecutor’s office discontinue the use of poor quality paper and fix or replace printers. We recommend they repair all damaged legal documents they create until the problems are resolved.

**Recommendation PI3a** – We recommend the Clerk’s office support staff-to-staff division meetings between CMD and Court Operations/Customer Service where staff can discuss and attempt to resolve document concerns. (NOTES: Recommend initial meetings be conducted between managers to establish criteria and direction for



## EXHIBIT 1

staff-to-staff meetings. This also supports CMD staff requests for improved communication among Clerk divisions.)

**Recommendation PI3b** – Consider a review of Court Operations and Customer Service training to determine if current training meets requirements. (NOTE: Document errors may come from many sources, new employees, training deficiencies, workload demands, misunderstanding by the CMD document recipient, etc.)