



COUNTY EXECUTIVE OFFICE

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Compliance and Accountability Report for the period July 1, 2021 – June 30, 2023

The County's Compliance and Accountability Policy requires the Compliance and Accountability Division (the Division) file a report with the Board of Supervisors presenting the implementation status of corrective actions related to completed internal and external audits and other monitoring reports for the fiscal year period ending June 30 or as deemed necessary by the County Executive Officer. As such, this is the Division's first report to your Board. In order to gain background knowledge on the types of reports and findings received, we reviewed the reports and related corrective actions over a two-year period. The following report provides information on these internal and external audit and monitoring reports as well as the implementation status of any related corrective actions. A corrective action plan is not required for reports that do not include findings.

Each report received with findings or recommendations was assigned a risk level. We determined levels of risk by considering the probability and level of impact of potential monetary losses, penalties, or quality problems as well as our level of understanding of the findings. The Compliance and Accountability Division did not perform corrective action testing on reports that did not contain findings or that were determined low risk. If we determined there were areas for further improvement in our understanding of the findings, recommendations, or potential impact, we assessed these as higher risk in order to prompt performing corrective action testing.

Report details are presented in Exhibits A – C depending on the risk level and whether the report contained findings. Exhibit A presents reports that did not contain any findings. Exhibit B presents reports that were assigned a low risk level. Exhibit C presents reports that were assigned a medium or high risk level which the Compliance and Accountability Division performed corrective action testing on in order to determine whether compliance with the related recommendations has been achieved.

Audits, Reviews, Agreed Upon Procedures, Monitoring, and Other Engagements

Auditor-Controller Reports

The Board of Supervisors, by resolution dated May 1961, adopted Government Code Section 26883 that gave the Board of Supervisors the power to authorize the Auditor-Controller to audit the accounts and records of any department, office, board or institution under the Board of Supervisor's control. To fulfill the Government Code requirements and provide additional fiscal oversight, the Auditor-Controller established the Internal Audit Division. The Internal Audit Division primarily performs compliance audits of County departments based on an audit plan annually approved by the Board of Supervisors. The compliance audits include assessing the adequacy of internal controls and examining, on a test basis, compliance with statutory requirements and the policies and procedures applicable to the department. On occasion, Internal Audit performs other agreed upon procedures.

In accordance with the Internal Audit Charter, the Auditor-Controller develops an annual audit plan to determine the priorities of the Internal Audit Division for the upcoming year. The annual audit plan may necessitate adjustments due to other work activities as needed. Accordingly, due to the assignment

of internal audit staff to the implementation of the enterprise resource planning system Workday as well as staff shortages, some items included on the fiscal year (FY) 2022-23 Audit Plan were not able to be completed as planned. As a result, the Auditor-Controller’s Office has contracted with Brown Armstrong Accountancy Corporation to assist with FY 2023-24 Audit Plan projects.

During this reporting period, the Internal Audit Division issued quarterly cash count memos on cash handling locations and issued statements on department head transfers of responsibilities. The following monitoring reports were issued by the Internal Audit Division during this reporting period:

Report	Report Date	Risk Level*	Exhibit Page
Public Works - Agency Funds Internal Controls	10/29/21	Low	B
Auditor-Controller - Petty Cash Review	6/30/22	Low	B
TTC - Treasurer’s Investment Pool Statement of Assets - 9/30/21	11/4/21	N/A	A
TTC - Treasurer’s Investment Pool Statement of Assets - 12/31/21	3/3/22	N/A	A
TTC - Treasurer’s Investment Pool Statement of Assets - 3/31/22	4/28/22	N/A	A
TTC - Treasurer’s Investment Pool Statement of Assets - 9/30/22	11/7/22	N/A	A
TTC - Treasurer’s Investment Pool Statement of Assets - 12/31/22	1/31/23	N/A	A
TTC - Treasurer’s Investment Pool Statement of Assets - 3/31/23	5/25/23	N/A	A
TTC - Tax Redemption Officer	1/5/22	N/A	A

* A Risk Level is ‘N/A’ if the report did not contain any findings.

Independent External CPA Auditor Reports

Eide Bailly, LLP served as independent external auditor for audits for the fiscal years ended (FYE) June 30, 2020, and 2021. Subsequently, Brown Armstrong Accountancy Corporation was selected by your Board to serve as the independent external auditor for FYE June 30, 2022, and 2023. These auditors primarily performed financial audits for additional fiscal oversight and other requirements, including the Government Code. Financial audits express opinions on the financial statements in accordance with Generally Accepted Auditing Standards and Government Auditing Standards. Standards require that they perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement. The auditor considers internal controls relevant to the preparation and fair presentation of the financial statements to design appropriate audit procedures, but not for the purpose of expressing an opinion on the effectiveness of the internal controls. On occasion, the independent external auditor also performs additional auditing services and other agreed upon procedures.

Eide Bailly issued the following reports during this reporting period:

Report	Report Date	Risk Level	Exhibit Page
Countywide - Single Audit	6/29/22	High	C
TTC - Treasurer’s Investment Pool Statement of Assets	11/29/21	N/A	A
Countywide – Annual Comprehensive Financial Report	12/31/21	N/A	A
Countywide – Appropriations Limit Calculation	12/31/21	N/A	A
First 5 – Financial Statements	10/11/21	N/A	A

Brown Armstrong issued the following reports during this reporting period:

Report	Report Date	Risk Level	Exhibit Page
Social Services - Food and Nutrition Services 209 Validation	12/29/21	Medium	C
District Attorney - Insurance Fraud Programs	9/28/22	N/A	A
First 5 – Financial Statements	11/8/22	N/A	A
TTC - Investment Pool Statement of Assets	12/2/22	N/A	A
Countywide – Annual Comprehensive Financial Report	12/2/22	N/A	A
Countywide – Appropriations Limit Calculation	12/2/22	N/A	A
Countywide - Single Audit	3/30/23	N/A	A
District Attorney - Insurance Fraud Programs	9/28/22	N/A	A

Grand Jury Reports

Government Code affirms that financial examinations or audits may be performed in coordination with the investigations conducted by the Grand Jury. The Board of Supervisors may resolve to accept the Grand Jury reports in lieu of its own separate examination if such reports are found to fulfill some or all of the requirements of the Government Code. Upon the issuance of a report, the Board of Supervisors and a department's elected official (if applicable) must respond to the Presiding Judge within 90 and 60 days, respectively.

The following reports were issued by the Grand Jury during this reporting period:

Report	Report Date	Risk Level	Exhibit Page
Jail Diversion in Santa Barbara County	12/27/21	High	C
Suicide in SB County Main Jail	12/20/21	High	C
Idle Oil Wells in Santa Barbara County	12/20/21	Medium	C
Cybersecurity for Special Districts and County Service Areas	12/10/21	Medium	C
The Keys to Housing the Homeless	11/23/21	Low	B
Pensions in Santa Barbara County Require Vigilance	12/17/21	Low	B
Lompoc Police Department	12/20/21	Low	B

Other External Agency Reports

In addition to the reports mentioned above, other reports have been issued from other external agencies. They include audits, reviews, assessments, agreed upon procedures, monitoring, and other reports that aim to determine the accuracy of information, provide insight, or recommendations to improve. Typically, they are primarily performance based but may vary significantly depending on the scope of the particular engagement and may also be financial or compliance based. The departments are responsible for filing the reports with the County Executive Office and Auditor-Controller in addition to responding directly to the agency.

Due to the large number of external agency reports received during the period we have presented these reports on Exhibit Pages A - C depending on the risk level and whether the report contained findings.

Conclusion

As required by County policy this report provides your Board with an update on audit and monitoring compliance. The diligent efforts by the Board of Supervisors, County departments, and auditors have been a critical part of providing transparent and accountable operations. This Division will continue to work with departments in reaching full compliance and report the status of any in progress items on the next report to the Board of Supervisors.

Exhibit A

Report did not contain any findings

7/1/21 - 6/30/23
 COMPLIANCE AND ACCOUNTABILITY
 POST AUDIT REVIEW SUMMARY - CURRENT

Issuing Agency	Department	Report/Program	Period Covered	Report Date
Auditor-Controller	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	9/30/2021	11/4/2021
Auditor-Controller	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	12/31/2021	3/3/2022
Auditor-Controller	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	3/31/2022	4/28/2022
Auditor-Controller	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	9/30/2022	11/7/2022
Auditor-Controller	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	12/31/2022	1/31/2023
Auditor-Controller	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	3/31/2023	5/25/2023
Auditor-Controller	Treasurer-Tax Collector	Tax Redemption Officer	7/1/14 - 6/30/20	1/5/2022
Independent External CPA Auditor	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	6/30/2021	11/29/2021
Independent External CPA Auditor	Treasurer-Tax Collector	Treasurer's Investment Pool Statement of Assets	6/30/2022	12/2/2022
Independent External CPA Auditor	Countywide	Annual Comprehensive Financial Report	6/30/2021	12/31/2021
Independent External CPA Auditor	Countywide	Appropriations Limit Calculation	6/30/2021	12/31/2021
Independent External CPA Auditor	Countywide	Annual Comprehensive Financial Report	6/30/2022	12/2/2022
Independent External CPA Auditor	Countywide	Appropriations Limit Calculation	6/30/2022	12/2/2022
Independent External CPA Auditor	Countywide	Single Audit	6/30/2022	3/30/2023
Independent External CPA Auditor	District Attorney	Automobile and Workers Compensation Insurance Fraud Programs	7/1/21 - 6/30/22	9/28/2022
Independent External CPA Auditor	First 5	Financial Statements	6/30/2021	10/11/2021
Independent External CPA Auditor	First 5	Financial Statements	6/30/2022	11/8/2022
External Agency - State Board of Equalization	Clerk-Recorder-Assessor	Board of Equalization Survey	7/1/18 - 6/30/19	2/22/2022
External Agency - Board of State and Community Corrections	Probation	Youth Reinvention Grant Fiscal Desk Review	10/1/21 - 12/31/21	2/9/2022
External Agency - Board of State and Community Corrections	Probation	Standards and Training for Corrections	7/1/20 - 6/30/21	8/13/2021
External Agency - Board of State and Community Corrections	Probation	Santa Maria Juvenile Hall & Los Prietos Boys Camp Biennial Inspection	7/1/20 - 6/30/22	5/24/2022
External Agency - Board of State and Community Corrections	Probation	Santa Maria Juvenile Hall - Environmental Health Inspection	7/1/21 - 6/30/22	10/1/2021
External Agency - Board of State and Community Corrections	Probation	Los Prietos Boys Camp - Medical/Mental Health Evaluation	7/1/21 - 6/30/22	10/4/2021
External Agency - Board of State and Community Corrections	Probation	Santa Maria Juvenile Hall - Medical/Mental Health Evaluation	7/1/21 - 6/30/22	10/4/2021
External Agency - Board of State and Community Corrections	Probation	Los Prietos Boys Camp - Facility Nutritional Health Inspection	7/1/21 - 6/30/22	10/29/2021
External Agency - Board of State and Community Corrections	Probation	Santa Maria Juvenile Court - Medical/Mental Health Evaluation	7/1/21 - 6/30/22	11/5/2021
External Agency - Board of State and Community Corrections	Probation	Standards and Training for Corrections	7/1/21 - 6/30/22	1/23/2023
External Agency - Board of State and Community Corrections	Probation	Youth Reinvention Grant Fiscal Desk Review	7/1/21 - 9/30/21	11/10/2021
External Agency - Board of State and Community Corrections	Probation	Santa Maria Juvenile Hall - Environmental Health Inspection	7/1/22 - 6/30/23	10/11/2022
External Agency - Board of State and Community Corrections	Probation	Santa Maria Juvenile Hall - Facility Nutritional Health Inspection	7/1/22 - 6/30/23	11/4/2022
External Agency - Board of State and Community Corrections	Probation	Los Prietos Boys Camp - Environmental Health Inspection	7/1/22 - 6/30/23	10/6/2022
External Agency - Board of State and Community Corrections	Probation	Los Prietos Boys Camp - Medical/Mental Health Evaluation	7/1/22 - 6/30/23	10/3/2022
External Agency - CA Dept of Justice	Probation	Criminal Offender Record Information	5/1/22 - 7/30/22	10/10/2022
External Agency - CA Dept of Justice	Probation	California Law Enforcement Telecommunications System	7/1/20 - 6/30/22	5/16/2022
External Agency - Juvenile Justice Delinquency Prevention Commission	Probation	Santa Maria Juvenile Hall Inspection	7/1/21 - 6/30/22	12/20/2021
External Agency - Juvenile Justice Delinquency Prevention Commission	Probation	Los Prietos Boys Camp Inspection	7/1/21 - 6/30/22	12/20/2021
External Agency - Juvenile Justice Delinquency Prevention Commission	Probation	Santa Maria Juvenile Hall Inspection	7/1/22 - 6/30/23	10/21/2022
External Agency - Juvenile Justice Delinquency Prevention Commission	Probation	Los Prietos Boys Camp Inspection	7/1/22 - 6/30/23	10/7/2022
External Agency - State Fire Marshall	Probation	Santa Maria Juvenile Hall - Wet Pipe Fire Sprinkler System	7/1/21 - 6/30/22	10/29/2021
External Agency - Superintendent of Schools	Probation	Santa Maria Juvenile Hall - Education Program Review	7/1/22 - 6/30/23	11/9/2022
External Agency - Superintendent of Schools	Probation	Los Prietos Boys Camp - Education Program Review	7/1/22 - 6/30/23	11/9/2022
External Agency - WellPath	Probation	Los Prietos Boys Camp - Environmental/Safety Inspection	06/22	6/1/2022
External Agency - WellPath	Probation	Santa Maria Juvenile Hall - Environmental/Safety Inspection	06/22	6/1/2022
External Agency - WellPath	Probation	Los Prietos Boys Camp - Environmental/Safety Inspection	06/23	6/1/2023
External Agency - WellPath	Probation	Santa Maria Juvenile Hall - Environmental/Safety Inspection	06/23	6/1/2023
External Agency - CA Dept of Health Care Services	Public Health	Environmental Health Specialists Continuing Education Accreditation	9/7/2022	9/7/2022
External Agency - CA Dept of Health Care Services	Public Health	Supplemental Nutrition Assistance Program - Education	1/1/22 - 3/30/22	10/12/2022
External Agency - CA Dept of Health Care Services	Public Health	Targeted Case Management Cost Report	7/1/13 - 6/30/14	5/26/2021
External Agency - CA Dept of Health Care Services	Public Health	Targeted Case Management Cost Report	7/1/14 - 6/30/15	5/26/2021
External Agency - CA Dept of Health Care Services	Public Health	DHCS FQHC Medi-Cal - Franklin Clinic	7/1/17 - 6/30/18	11/23/2021
External Agency - CA Dept of Health Care Services	Public Health	DHCS FQHC Medi-Cal - Carpinteria Community Health Center	7/1/17 - 6/30/18	11/23/2021

Exhibit A

Report did not contain any findings

7/1/21 - 6/30/23
 COMPLIANCE AND ACCOUNTABILITY
 POST AUDIT REVIEW SUMMARY - CURRENT

Issuing Agency	Department	Report/Program	Period Covered	Report Date
External Agency - CA Dept of Health Care Services	Public Health	DHCS FQHC Medi-Cal - County Health Clinic 1	7/1/17 - 6/30/18	11/23/2021
External Agency - CA Dept of Health Care Services	Public Health	DHCS FQHC Medi-Cal - County Health Clinic 2	7/1/17 - 6/30/18	11/23/2021
External Agency - CA Dept of Health Care Services	Public Health	DHCS FQHC Medi-Cal - Lompoc County Health Clinic	7/1/17 - 6/30/18	11/23/2021
External Agency - CA Environmental Protection Agency	Public Health	Solid Waste Local Enforcement Agency	3/30/17 - 11/30/21	11/8/2022
External Agency - CA Environmental Protection Agency	Public Health	CUPA (Hazmat) Environmental Health Services	8/1/20 - 1/31/21	2/11/2022
External Agency - Health Resources and Services Administration	Public Health	Public Health Service Act Section 330 Site Visit	3/21 - 2/22	6/17/2022
External Agency - National Government Services	Public Health	Federally Qualified Health Center Cost Report	7/1/19 - 6/30/20	8/17/2021
External Agency - PricewaterhouseCoopers	Public Health	Pfizer Institutional Patient Assistance Program	7/1/22 - 6/30/23	11/28/2022
External Agency - State Water Resources Control Board	Public Health	Local Primacy Agency Program	7/1/20 - 6/30/21	1/28/2022
External Agency - Moss Levy	Public Works	Transportation - Public Transit Fund Financial Statement Audit	7/1/19 - 6/30/21	3/31/2022
External Agency - Board of State and Community Corrections	Sheriff	AB900 North Branch Jail Construction	1/15/13 - 12/7/21	1/28/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	6/1/2021	9/2/2021
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	7/1/2021	11/29/2021
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	8/1/2021	1/4/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	8/1/2021	1/4/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	9/1/2021	1/27/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Negative	10/1/2021	1/20/2021
External Agency - CA Dept of Social Services	Social Services	CalFresh Negative	03/22	12/1/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	04/22	8/25/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	05/22	9/27/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Negative	06/22	5/5/2023
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	07/22	12/1/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Quality Control review	09/22	10/27/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	11/22	3/25/2023
External Agency - CA Dept of Social Services	Social Services	CalFresh Negative	11/22	4/20/2023
External Agency - CA Dept of Social Services	Social Services	CalFresh Negative	12/21	4/23/2022
External Agency - CA Dept of Social Services	Social Services	CalFresh Negative	12/22	4/28/2023
External Agency - CA Dept of Social Services	Social Services	CalFresh Active	12/22	5/1/2023
External Agency - Employment Development Dept	Social Services	WIOA- SBC Workforce Development Board	7/1/21 - 6/30/22	12/21/2022

Exhibit B

Low Risk Reports

7/1/21 - 6/30/23
 COMPLIANCE AND ACCOUNTABILITY
 POST AUDIT REVIEW SUMMARY - CURRENT

Issuing Agency	Department	Report/Program	Period Covered	Report Date
Auditor-Controller	Auditor-Controller	Petty Cash	4/27/2022	6/30/2022
Auditor-Controller	Public Works	Internal Controls Review of Agency Funds	10/1/19 - 6/30/21	10/29/2021
External Agency - Behavioral Health Concepts	Behavioral Wellness	Medi-Cal Specialty Behavioral Health External Quality Review-DMC-ODS	7/1/22 - 6/30/23	5/5/2023
External Agency - CA Dept of Health Care Services	Behavioral Wellness	Short-Doyle/Medi-Cal Cost Reporting and Data Collection	7/1/12 - 6/30/13	2/10/2022
External Agency - CA Dept of Health Care Services	Behavioral Wellness	Short-Doyle/Medi-Cal Cost Reporting and Data Collection	7/1/13 - 6/30/14	4/28/2022
External Agency - CA Dept of Health Care Services	Behavioral Wellness	Mental Health Plan Network Adequacy	9/1/22 - 11/30/22	1/6/2023
External Agency - CA Dept of Health Care Services	Behavioral Wellness	274 Monthly Production Submissions	1/10/2023	1/24/2023
External Agency - CA Dept of Health Care Services	Behavioral Wellness	Subcontractor Audit - LAGS Spine and Sportscore Medical Centers	7/1/17 - 6/30/18	5/23/2023
External Agency - CA Dept of Insurance	District Attorney	Insurance Fraud Grant Programs	7/1/18 - 6/30/21	5/13/2022
External Agency - CA Office of Emergency Services	District Attorney	Victim Witness Grant Subawards	8/23/2022	9/19/2022
External Agency - Board of State and Community Corrections	Probation	Los Prietos Boys Camp - Environmental Health Inspection	7/1/21 - 6/30/22	10/1/2021
External Agency - Board of State and Community Corrections	Probation	Santa Maria Juvenile Hall - Medical/Mental Health Evaluation	7/1/22 - 6/30/23	10/3/2022
External Agency - Board of State and Community Corrections	Probation	Los Prietos Boys Camp - Nutritional Health Evaluation	7/1/22 - 6/30/23	11/4/2022
External Agency - State Fire Marshall	Probation	Wet Pipe Fire Sprinkler System	7/1/22 - 6/30/23	11/3/2022
External Agency - CA Dept of Public Health	Public Health	HIV Care Program Site Visit	7/1/20 - 6/30/21	3/1/2022
External Agency - State Water Resources Control Board	Public Health	Local Primacy Agency Program	7/1/21 - 6/30/22	1/30/2023
External Agency - California Dept of Social Services	Social Services	CalFresh Active	11/1/2020	8/30/2021
External Agency - California Dept of Social Services	Social Services	CalWorks - WINS WPR	7/1/19 - 6/30/20	11/1/2021
External Agency - California Dept of Social Services	Social Services	CalFresh Negative	7/1/2021	11/29/2021
External Agency - California Dept of Social Services	Social Services	CalFresh Negative	10/21	9/12/2022
External Agency - California Dept of Social Services	Social Services	CalFresh Negative	04/22	12/5/2022
External Agency - California Dept of Social Services	Social Services	CalFresh Negative	10/22	2/24/2023
External Agency - California Dept of Social Services	Social Services	CalWorks - WINS APR	10/1/20 - 9/30/21	4/3/2023
External Agency - Employment Development Dept	Social Services	Workforce Innovation and Opportunity Act	9/1/18 - 12/31/20	8/19/2022
Grand Jury	Community Services	The Keys to Housing the Homeless	2021	11/23/2021
Grand Jury	County Executive Office	Pensions in Santa Barbara County Require Vigilance	2021	12/17/2021
Grand Jury	Sheriff	Lompoc Police Department	2021	12/20/2021

Exhibit C
Medium and High Risk Reports
Corrective action testing was performed

7/1/21 - 6/30/23
COMPLIANCE AND ACCOUNTABILITY
POST AUDIT REVIEW SUMMARY - CURRENT

Issuing Agency	Department	Report/Program	Report Date	Compliance Division Comments	Current Status	Estimated Date of Completion
Grand Jury	Information Technology	Cybersecurity for Special Districts and County Service Areas	12/10/2021	The County approved countywide technical cyber security policies which include the recommendations from the Grand Jury report and are applicable to dependent special districts and community service areas.	In Compliance	Completed
Grand Jury	Planning & Development	Idle Oil Wells in Santa Barbara County	12/20/2021	The department has implemented a public facing web portal that identifies Planning and Development inspection dates and results for each well inspected.	In Compliance	Completed
External Agency - Behavioral Health Concepts	Behavioral Wellness	Medi-Cal Specialty Behavioral Health External Quality Review-DMC-ODS	5/9/2022	This report presents opportunities for improvements. There were no instances of noncompliance identified. Department updated the Quality Improvement Committee work plan with measurable objectives including the expanded definition of urgent conditions, and contracted for recovery residences in North and West County.	In Compliance	Completed
External Agency - Behavioral Health Concepts	Behavioral Wellness	Medi-Cal Specialty Behavioral Health External Quality Review-MHP	7/11/2022	This report presents opportunities for improvements. There were no instances of noncompliance identified. Department has begun tracking crisis response times and included direct service staff information in an HR Newsletter to staff.	In Compliance	Completed
External Agency - CA Dept of Health Care Services	Behavioral Wellness	Triennial Short-Doyle/Medi-Cal PHF Audit	5/4/2022	Training was provided to staff, added an additional review step to confirm charts contain proper documentation, and real-time feedback is provided to staff if improvements are needed.	In Compliance	Completed
External Agency - CA Dept of Health Care Services	Behavioral Wellness	DMC-ODS County Compliance Review	8/10/2022	Department created a checklist for onsite orientation and training, shared the checklist with subcontractors, and provided guidance that continuing education is based on the calendar year.	In Compliance	Completed
External Agency - CA Dept of Health Care Services	Behavioral Wellness	Substance Abuse Block Grant County Compliance Review	8/10/2022	Department performed onsite monitorings of all subcontractors for compliance with ADA facility requirements and determined that accessible related resources were available free of charge.	In Compliance	Completed
External Agency - CA Dept of Housing and Community Development	Community Services	Emergency Solutions Grant -CARES Act	5/11/2023	Department updated policies and procedures manual including confidentiality language and also included a checklist for participant files to confirm documentation is sufficient.	In Compliance	Completed
External Agency - CA State Controller	Sheriff	Peace Officer Standards and Training Program	10/18/2021	Department provided staff training on reimbursement requirements.	In Compliance	Completed
External Agency - CA Dept of Social Services	Social Services	Adoption Assistance Program Monitoring	7/18/2022	Department updated procedures and enacted a three-tier review process in order to teach staff what errors to look for in order to fix them before they are submitted.	In Compliance	Completed
External Agency - CA Dept of Social Services	Social Services	CalFresh Management Evaluation	12/20/2022	Department reviewed requirements in team meetings, provided reminders on requirements in staff bulletins, and provided staff training on protected client information.	In Compliance	Completed
External Agency - CA Dept of Social Services	Social Services	In-Home Supportive Services	5/18/2023	Department reviewed requirements in team meetings and updated the In-Home Supportive Services Quality Assurance Interview form.	In Compliance	Completed
External Agency - CA Office of Emergency Services	Public Works	Office of Emergency Management	8/12/2021	Department provided training to staff on emergency procurement procedures and also procured a contract with Ernst and Young for disaster consultant services.	In Compliance	Completed
Independent External CPA Auditor	Social Services	Food and Nutrition Services 209 Validation	12/29/2021	The department updated their procedures to include an additional review step which indicates that the report preparer will review the completed report with all work papers with the Fiscal Manager prior to submission.	In Compliance	Completed
Independent External CPA Auditor	Countywide	Single Audit	6/29/2022	Findings #1 and #2 were related to CARES funding received. In order to prevent similar issues for other federal funding, the CEO department has put a certification form in place to confirm amounts are not claimed for reimbursement through other grants. The Auditor-Controller department and CEO department have also updated their ARPA funding procedures. Finding #3 was related to the department of Behavioral Wellness. The department has updated their agreements to include federal award tables to clearly identified the SAPT subaward as well as elements required by 2 CFR 200.332(a)(1) through (6).	In Compliance	Completed
Grand Jury	Sheriff	Suicide in SB County Main Jail	12/20/2021	The County continues to work on the best ways to serve the mental health needs at the jail.	In Progress	6/30/2024
Grand Jury	Sheriff, Behavioral Wellness, District Attorney, Public Defender, Probation	Jail Diversion in Santa Barbara County	12/27/2021	The County continues to work to address the mental health needs within the County including establishing mental health emergency facilities to meet the County's need. The County also continues to work on filling discharge planning vacancies and ways to best serve a greater population.	In Progress	6/30/2024