

# Attachment



# External Monitoring Reports

of County Departments, Performed by State, Federal, and Other Outside Agencies

July 1, 2020—June 30, 2021



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# Department External Monitoring

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The County organization as a whole, and specific County departments, are subject to monitoring by various external entities. The majority of monitoring is performed to ensure state and federal funds awarded to the County are spent in accordance with certain laws and regulations. Instances of non-compliance may result in: 1) requirement of funds returned to the funding agency, 2) reduced funding in future years, and/or 3) higher monitoring costs.

Monitoring can occur at different levels, such as an audit, review, or specific procedures performed on certain processes. Additionally, monitoring periods may vary (i.e. annually, quarterly, or on a one-time basis).

County policy requires all monitoring performed over departments be reported to the Auditor-Controller. This report presents information on monitoring reports received by County departments and reported to the Auditor-Controller during fiscal year (FY) 2020-21. Any reports presented to the County Board of Supervisors separately, such as the Annual Comprehensive Financial Report and the Single Audit Report, are not included in this report. Internal Audit has not performed audit procedures on the departments' responses regarding their corrective action.

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A risk rating is assigned to each of the programs by the department based upon monitoring results. The risk ratings are as follows:

**Low Risk:** Potential for low dollar amount of error or loss, other compensating procedures exist, or minimal program impact.

**Moderate Risk:** Potential for moderate dollar amount of error or loss (relative to the size of the program), some violation of policy, other compensating procedures may exist to correct issue. When an audit report indicates that a breakdown in compliance occurred, the risk will be assessed at a minimum of moderate. Nonadherence to policies and procedures, lack of self-monitoring, and a possible future loss of outside funding due to noncompliance will also be assessed at a minimum of moderate.

**High Risk:** Potential for large dollar amount of error or loss, significant lack of monitoring or breakdown in compliance, or wide-spread violation of law. Insufficient compensating procedures exist.

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A listing of all external monitoring reports assessed as low risk are included on pages three and four. The remaining pages present department-specific monitoring reports assessed as moderate and list recommendations made by the external agency, as well as the corrective actions taken by two departments.

# Department External Monitoring

## List of Low-Risk Reports

The chart below lists program monitoring reports that had either no findings or findings with little or no dollar amounts of error or loss, strong existing compensating procedures, or findings with minimal program impact:

Department	Programs Monitored	Monitoring Agency
Behavioral Wellness	Drug Medi-Cal Organized Delivery System External Quality Review	Behavioral Health Concepts, Inc.
Behavioral Wellness	Mental Health Program External Quality Review	Behavioral Health Concepts, Inc.
Community Services	Davis-Bacon Labor Standards Compliance	United States Department (Dept.) of Housing and Urban Development
Community Services	Continuum of Care Best Practices Audit	California State Auditor
District Attorney	Insurance Grant Fraud Program Audit	California Dept. of Insurance
District Attorney	Desk Compliance Assessment of County Victims Assistance and Victim Witness Assistance Programs	California Office of Emergency Services (OES)
Fire	Ground Emergency Medical Transportation Cost Report Review	California Dept. of Health Care Services
Probation	Santa Maria Juvenile Hall WellPath Inspection	WellPath
Probation	Los Prietos Boy Camp WellPath Inspection	WellPath
Probation	Standards and Training for Corrections Compliance Review	Board of State and Community Corrections
Probation	Los Prietos Boys Camp Facility Health Inspection	Board of State and Community Corrections
Probation	Los Prietos Boy Camp Medical/Mental Health Evaluation	Board of State and Community Corrections
Probation	Los Prietos Boy Camp Nutritional Health Evaluation	Board of State and Community Corrections
Probation	Los Prietos Boys Camp Environmental Health Inspection	Board of State and Community Corrections
Probation	Santa Maria Juvenile Hall Medical/Mental Health Evaluation	Board of State and Community Corrections
Probation	Santa Maria Juvenile Hall Environmental Health Inspection	Board of State and Community Corrections
Probation	Santa Maria Juvenile Hall Nutritional Health Evaluation	Board of State and Community Corrections
Probation	Santa Maria Juvenile Court Medical/Mental Health Evaluation	Board of State and Community Corrections
Probation	Santa Maria Juvenile Court Environmental Health Evaluation	Board of State and Community Corrections

# Department External Monitoring

## List of Low-Risk Reports (Continued)

Department	Programs Monitored	Monitoring Agency
Probation	Santa Maria Juvenile Hall Facility Education Program Review and Evaluation	Superintendent of Schools
Probation	Santa Maria Juvenile Hall Wet Pipe Fire Sprinkler System Inspection	State Fire Marshal
Public Health	Medicare Cost Report Annual Review FY 18-19	National Government Services
Public Health	Medicare Cost Report Annual Review FY 19-20	National Government Services
Public Health	Medi-Cal FQHC tentative Annual Reconciliations	California Dept. of Health Care Services (DHCS) Audits and Investigations
Public Health	Targeted Case Management FY 14-15	State of California Dept. of Health Care Services Audits and Investigations
Public Health	State Water Resources Control Board's Local Oversight Review	California State Controller's Office
Public Health	Women, Infant, and Children Program Costs Review	California State Controller's Office
Public Health	Women, Infant, and Children Program Monitoring Review	California Dept. of Public Health
Public Health	Local Primary Agency Annual Evaluation	State Water Resource Control Board
Public Health	Targeted Case Management FY 13-14	State of California Dept. of Health Care Services Audits and Investigations
Public Health	Public Health Emergency Preparedness (PHEP) and Hospital Preparedness Program (HPP) Grant Programs Review	California Dept. of Public Health
Public Works	Random Sampling of Federal Highway Administration Projects	California OES
Social Services	Ten (10) reviews of the CalFresh/Supplemental Nutrition Assistance Program	California Dept. of Social Services
Social Services	CalFresh Employment and Training Management Evaluation	California Dept. of Social Services
Social Services	Compliance with Temporary Assistance for Needy Families and Work Incentive Nutritional Supplement Review	California Dept. of Social Services
Social Services	Food and Nutrition Services 209 Validation	Brown Armstrong, Accountancy Corporation
Social Services	WIOA– Equal Employment Opportunity Desk Review	California Employment Development Dept.
Social Services	In-Home Support Services State Quality Assurance Review	California Dept. of Social Services
Treasurer-Tax Collector	Representative Payee Review	Disability Rights California

# Child Support Services

The Child Support Services Department received one monitoring report during FY 2020-21 for the Local Child Support Agencies (LCSA) Fiscal and Compliance Audit. The LCSA Fiscal and Compliance Audit is presented below.

Program	Monitoring Agency	Risk Level
Local Child Support Agencies Fiscal and Compliance Audit	California Department of Child Support Services	Moderate Risk

**Purpose of Monitoring**

To determine whether expenditures and abatements reported on the CS 356 complied with applicable laws, rules, and regulations from July 1, 2017 through June 30, 2018.

**Findings**

One finding was noted by California Department of Child Support Services (DCSS). Santa Barbara County DCSS did not adequately track assets and update inventory listings. Specifically, assets listed on the County’s Capital Equipment Certification were not documented in the Santa Barbara County DCSS fixed and non-fixed asset listing.

**Corrective Action Taken**

Santa Barbara County DCSS ensured that the items on the Capital Equipment Certification are incorporated into the Department’s general fixed asset and non-fixed asset listing.

In addition, Santa Barbara County DCSS has performed the following:

- relocated surplus items previously stored in difficult-to-access locations,
- began conducting quarterly inventories, including vouching all fixed assets to the fixed asset listings,
- entered assets into an asset tracking software program which allows for the scanning of barcoded asset tags, and
- obtained new scannable, barcoded asset tags that affix better to furniture and equipment.

# Public Health

The Public Health Department received one monitoring report for FY 2020-21. The Certified Unified Program Agency (CUPA) Performance Evaluation is presented below.

Program	Monitoring Agency	Risk Level
Certified Union Program Agency (CUPA) Performance Evaluation	California Environmental Protection Agency (CalEPA)	Moderate Risk

### Purpose of Monitoring

To evaluate the Santa Barbara Public Health Department CUPA for the period from August 2020 through January 2021.

**Findings** (for brevity, only deficiencies are listed below however the report also contained incidental findings and observations)

CalEPA rates the CUPA’s overall implementation of the Unified Program as satisfied with improvement needed.

1. The Unified Program administrative procedures have components that are inaccurate or incomplete.
2. The CUPA is not inspecting each facility subject to California Accidental Release Prevention (CalARP) Program requirements at least once every three years.
3. The CUPA is not consistently documenting in sufficient detail whether the Underground Storage Tank (UST) owner or operator has demonstrated to the satisfaction of the CUPA, UST closure, removal, and soil and/or water sampling complies with CCR, Title 23, Chapter 16 (UST Regulations), and HSC, Chapter 6.7.
4. Review of the CUPA’s local ordinance, Chapter 18C, Article III, sections 18C-31 through 18C-53, finds inconsistencies with UST Regulations and HSC.
5. Review of the Unified Program Facility Permit (UPFP), which includes the UST operating permit and permit conditions, finds inconsistencies with UST Regulations and HSC.
6. The Consolidated UST Closure Procedure is inconsistent with UST Regulations and HSC.
7. The CUPA is not issuing UST operating permits, issued under the UPFP, in accordance with the UST Permit to Operate Issuance Procedure.
8. The CUPA is not consistently requiring UST facilities with double walled USTs within a 1,000-foot radius of a public drinking water well to implement one-time Enhanced Leak Detection (ELD) testing. State Water Board sent a Notice of Noncompliance to the owner or operator and the CUPA, on April 30, 2008, indicating that ELD testing is required.

# Public Health (Continued)

## Corrective Action Taken

### Finding 1:

- The CUPA will provide CalEPA with a copy of the revised Unified Program administrative procedures that address the identified inaccurate and incomplete components.
- The CUPA will provide training documentation to CalEPA, which at minimum will include an outline of the training conducted and a list of CUPA personnel in attendance. Once training is complete, the CUPA will implement the revised administrative procedures.
- If amendments were necessary, the CUPA will train CUPA personnel on the amended Unified Program administrative procedures. The CUPA will provide training documentation to CalEPA, which at minimum will include an outline of the training conducted and a list of CUPA personnel in attendance. Once training is complete, the CUPA will implement the amended administrative procedures.

### Finding 2:

- The CUPA will develop, implement, and provide CalEPA with an action plan to ensure each facility subject to CalARP requirements is inspected at least once every three years.
- The CUPA will provide CalEPA with an updated spreadsheet to demonstrate the number of CalARP facility inspections that have been conducted during the previous three months.

### Finding 3:

- The CUPA will develop and provide CalEPA with, a process that establishes consistent use of the UST Closure letter template included in the Consolidated UST Closure Procedure.
- The CUPA will draft and provide CalEPA with a list of USTs removed or closed in place on or after August 21, 2018, and copies of each UST closure letter issued to the owner/operator.

### Finding 4:

- The CUPA will provide CalEPA with a detailed plan to revise and adopt the local ordinances to be consistent with UST Regulations and HSC. The plan shall include, at minimum, a timeline for drafting and adopting the ordinance, provisions for the CUPA to provide legal analysis of the ordinance to CalEPA and the State Water Board, and a draft of the revised local ordinance.

### Finding 5:

- The CUPA provided a revised UST operating permit, and revised permit conditions issued under the UFPF for review. The State Water Board acknowledged the revisions were consistent with UST Regulations and HSC on February 18, 2021.

### Finding 6:

- The CUPA will review, revise, and provide CalEPA with a copy of the Consolidated UST Closure Procedure, which will address inconsistencies.

## Public Health (Continued)

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### **Corrective Action Taken**

#### **Finding 7:**

- The CUPA will review, revise, and provide to CalEPA a copy of the UST Permit to Operate Issuance Procedure, which will address inconsistencies.

#### **Finding 8:**

- Corrective action completed during evaluation. The CUPA provided ELD test results for the facilities listed above. No further action is required.



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