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STATE OF CALIFORNIA
EL DORADO COUNTY
POST OFFICE BOX 472
PLACERVILLE, CA 95667



GRAND JURY

Telephone (530) 621-7477
e-mail: grandjury@co.el-dorado.ca.us
FAX: 530-295-0763

June 26, 2007

Honorable Jerald M. Lasarow
Superior Court 2, South Lake Tahoe
1354 Johnson Boulevard
South Lake Tahoe, CA 96150

Honorable Judge Lasarow:

Enclosed are the 2006-2007 El Dorado County Grand Jury final reports. They comply with California Penal Code, Section 933 (a) and (b). There were fifty four (54) complaints received. The Grand Jury investigated many of these complaints but by vote decided to write reports on fifteen (15). This includes three (3) midterm reports previously published, twelve (12) investigative reports and four (4) Commendations for County Departments.

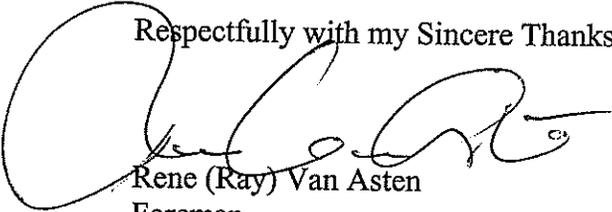
During its term, the Grand Jury interviewed numerous from citizens, both from the private and county government employees. Special districts and other entities were represented. Almost all officials and citizens interviewed were very helpful in assisting our committees and providing clear insight into our investigations. The members of the current Grand Jury learned a great deal about governments operations.

The number of reports is not indicative of the tremendous amount of time and effort that was spent by each Grand Jury member. Each member spent at least twenty (20) to twenty five (25) hours per week in investigations, committee meetings and report writing. They are true representatives of the citizens in this county and I am proud of them and the services they provided. I consider it an honor to have worked with them. Their dedication and commitment to the functioning of the Grand Jury has made this session productive.

To serve on the Grand Jury is a privilege and honor. The State of California is the only State in the Union that has kept the tradition of the "civil" Grand Jury intact by enforcing it with its Constitution. Every county government in the State has the obligation to choose and support a Grand Jury and assist them in their endeavors. This is sometimes not well received by people in government or officials in special districts. The Grand Jury is sometimes perceived by those members as a nuisance. However, the Grand Jury is a group of citizens who serve as the "watchdog" of government. The Grand Jury members should be commended for their commitment, not vilified because they fulfill their civic duties.

I would like to take this opportunity thank you for your support and guidance. I appreciate the honor to serve as foreman for this Grand Jury. Special thanks go to all the committee chairs persons and those members who took on special functions within the administration of this Grand Jury. All citizens in El Dorado County should support and thank those citizens who will serve and have served on Grand Juries. It is Democracy at work.

Respectfully with my Sincere Thanks,

A handwritten signature in black ink, appearing to read "Rene (Ray) Van Asten". The signature is fluid and cursive, with a large initial "R" and "V".

Rene (Ray) Van Asten
Foreman
2006-2007 Grand Jury

**SUPERIOR COURT OF CALIFORNIA
COUNTY OF EL DORADO**

Criminal Division
1354 Johnson Boulevard, Suite 1
South Lake Tahoe, California 96150
(530) 573-3044
(530) 542-9102 Fax

JERALD M. LASAROW
JUDGE

Dear Grand Jury Members:

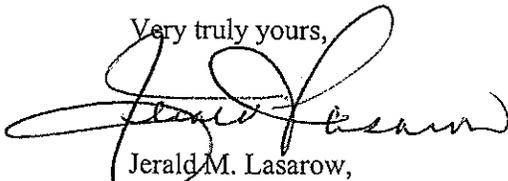
As the supervising Judge of the 2006-2007 Grand Jury and on behalf of El Dorado County Superior Court, I want to thank all of you for your hard work and your dedication to the Grand Jury system. Your commitment to serve your County and its citizens proves how important your mission was this past year. I have reviewed your timely reports and approved them.

I am always amazed at the time, effort and most importantly the dedication, given by all the members of the Grand Jury. I appreciate the long hours many of you have put into these projects and the excellent results speak for themselves.

The Grand Jury functions and is successful because of dedicated citizens like you. The many hours and the hard work has assisted to make this County a better place for its citizens but most importantly has given our citizens a look into government that not too many of us are exposed too.

I would like to thank the committee members for guidance given to the Jury. I would also like to thank the members of the jury who assumed additional functions within the Grand Jury. All members are to be commended for their time and dedication to the functions in the Jury.

Very truly yours,



Jerald M. Lasarow,
Judge of the Superior Court

El Dorado County Grand Jury 2006-2007

NOTICE TO REPORT RESPONDENTS Based on *Penal Code § 933.05*

Response to FINDINGS

The responding person or entity must respond in one (1) or two (2) ways:

1. **Agree** with the finding, or
2. **Disagree (all or part)** with the finding.
 - a) **Identify the disputed finding** (or portion thereof).
 - b) **Explain** the disagreement and include reasons for the dispute.

Response to RECOMMENDATIONS

Recommendations by the Grand Jury require timely action. The responding person or entity must report their action on all recommendations in one (1) of the four (4) following ways:

1. The recommendation **is** implemented. (Explain how this was accomplished.)
2. The recommendation **is not** implemented. It **will be** implemented in the near future. (Present the plan, including the time-line, for implementation).
3. The recommendation **requires further analysis**. The explanation requires (P.C. §933.05) a detailed description of the analysis or study which must be submitted to the officer, director or governing body of the agency under investigation), or
4. The recommendation **will not be** implemented because it is not warranted or is not reasonable. (Please provide a full explanation about this response.)

Response: TIME, WHERE, and TO WHOM

Penal Code § 933.05 identifies two (2) different response times, depending on type of respondent, and includes where and to whom the response is directed: Day one (1) begins with the date of the report.

1. **Public Agency:** The governing body of any public agency* must respond within **ninety (90) days**, to the presiding Judge of the Superior Court. (Examples: Governing body of a public agency, Board of Supervisors, Directors of Districts)
2. **Elective Officer or Agency Head:** All elected officers or heads of agencies* are required to respond within **sixty (60) days** to the presiding Judge of the Superior Court, with a copy to the Board of Supervisors. (Examples: Sheriff, Auditor/Controller, Recorder, Surveyor, Tax/Treasurer)

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* "agency", also refers to "department"

EL DORADO COUNTY GRAND JURY 2006-2007

Countywide Special Revenue Funds

**GJ 06-023
April 2007**

SUMMARY

This El Dorado County Grand Jury report is the result of an investigation into the management of El Dorado County Countywide Special Revenue Funds. These funds represent approximately 85% of the special revenue funds managed by the County.

A beginning balance, July 1, 2006 financial report from the El Dorado County Auditor-Controller's Office provided data and information related to these funds. One hundred thirty three (133) separate funds were identified having a total balance of \$95,709,470.17. The Auditor-Controller's Mid Year Report 2006-2007 documented the total Countywide Special Revenue Funds appropriations at \$90,937,479.11.

Prior to 2003-2004, El Dorado County maintained the revenue currently deposited in Countywide Special Revenue Fund accounts in Trust Fund accounts. Unlike Trust Fund accounts, the Countywide Special Revenue Fund accounts are subject to budgeting and reporting requirements.

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Scope of the Investigation:

Twenty-five (25) departments and offices within El Dorado County manage the 133 El Dorado County Countywide Special Revenue Funds. The Departments of Transportation, Public Health and General Services were chosen for this investigation due to the number of funds, the amount of revenue and the range of revenue sources that these departments manage. These departments manage 63 of the 133 funds, which equates to 47.4% of the total Countywide Special Revenue Funds. Additionally, they manage 89.9% of the total revenue in these funds, which is \$86,019,912.08. Finally, in the case of the Department of Transportation, multiple revenue sources fund many of the Countywide Special Revenue Funds.

People Interviewed:

El Dorado County, Auditor-Controller
El Dorado County, Treasurer & Tax Collector
El Dorado County, Director Department of Transportation
El Dorado County, Director Public Health
El Dorado County, Director General Services
El Dorado County, Director Development Services Department
El Dorado County, Deputy Director Development Services Department

El Dorado County, Deputy Director Administration Department of Transportation
El Dorado County, Deputy Director Transportation Planning & Land Development
El Dorado County, Senior Traffic Civil Engineer Department of Transportation

Documents Reviewed:

- *Notice of Availability of the Traffic Impact Mitigation Fee Program, Final Supplement to the El Dorado County General Plan, Environmental Impact Report, August 8, 2006*
- *2004 General Plan Traffic Impact Mitigation Fee Program Documents, August 8, 2006 and provided to the Board of Supervisors on August 22, 2006*
- *Office of Auditor-Controller, Countywide Special Revenue Funds Report, February 6, 2007*
- *Office of Auditor-Controller, Special Revenue Funds by Department Report, November 21, 2006*
- *Office of Auditor-Controller, Special Revenue Funds by Fund Type Report, August 21, 2006*
- *General Services Department, Interdepartmental Memorandum, Additional Information as Requested – Special Revenue Funds, February 14, 2007*
- *Public Health Department Policy/Procedure B-1, Monthly Fiscal Reports, revised October 1, 2003*
- *Public Health Department Policy/Procedure B-2, Current Year Budget Adjustments, revised January 10, 2007*
- *Public Health Department, Special Revenue Fund Reconciliation Reports, Balance Detail Reports and Revenue Expenditure Reports, for selected funds*
- *Office of Treasurer & Tax Collector, El Dorado County Pooled Investments, Statement of Investment Policy*
- *Office of Treasurer & Tax Collector, El Dorado County Treasurers Cash Balance Report by fund-type, fund and sub-fund, October 27, 2006*
- *Department of Transportation, Impact Fee Program Compliance Reporting Documents, March 21, 2006*
- *Department of Transportation, Traffic Impact Fee Reports including budgets, projects for FY 2006-2007*
- *El Dorado County Grand Jury, Final Report 2003-2004, Trust Funds*

1. Fact:

The El Dorado County Board of Supervisors (BOS) agreed to the recommendations in the 2003-2004 Grand Jury Report that County departments would conduct annual reviews of the El Dorado County Trust Funds.

1. Finding:

The BOS indicated that the recommendation pertaining to the maintenance and reconciliation of funds would result in an annual review of El Dorado County Trust Funds now maintained as Countywide Special Revenue Funds. A subsequent inquiry by the 2006-2007 Grand Jury to the County Administrative Officer (CAO) and the Auditor Controllers Office indicated that the BOS did not follow-up on their commitment to the 2003-2004 Grand Jury Report.

1a. Recommendation:

The CAO should provide guidelines that will assist County departments in the management of Special Revenue Funds and in the preparation of uniform reports.

1b. Recommendation:

The CAO should establish due dates for the Department Special Revenue Fund Reports.

2. Fact:

Effective management of Countywide Special Revenue Funds involves two major components associated with each account:

1. the budget component: tracking revenue and expenditures
2. the program or project component: tracking the accomplishment of activities.

Comprehensive and coordinated monitoring of above components is essential to effective management.

2. Finding:

In some instances current tracking methods are inadequate.

2. Recommendation:

Program management tools should be implemented in those areas where automation would assist in the management of Countywide Special Revenue Funds.

3. Fact:

Departmental procedures define how an entity conducts business. Departments cannot maintain control over how they operate without well-documented procedures that are followed and routinely reviewed and updated.

3a. Finding:

Not all El Dorado County Departments that have oversight responsibility for Countywide Special Revenue Funds have internal procedures that identify and define departmental processes and responsibilities as it relates to management and reporting of these funds.

3b. Finding:

Two of the three departments reviewed, Transportation and General Services, were found to be deficient in this area.

3. Recommendation:

County departments that do not currently have procedures to manage their Countywide Special Revenue Funds, should develop and maintain procedures appropriate to their operations.

EL DORADO COUNTY GRAND JURY 2006-2007

El Dorado County Advisory Committee to the In-Home Supportive Services

GJ 06-033
March 2007

SUMMARY

The El Dorado County Grand Jury received a complaint from a former member of the Advisory Committee to the In-Home Supportive Services (IHSS) Public Authority (PA). At issue was the lack of orientation, knowledge and overall understanding of the role and responsibility of the Advisory Committee. Investigation into the administration of the Advisory Committee manifested inconsistencies between intent and practice.

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BACKGROUND

The Public Authority is a local agency established by an ordinance enacted by the El Dorado County Board of Supervisors. It is legally separate from the County and is the employer of record for IHSS PA care providers for the purpose of collective bargaining. The IHSS PA is a program under which qualified aged, blind, and disabled persons are provided with services in order to permit them to remain in their homes and avoid institutionalization.

The IHSS PA Advisory Committee is appointed by the El Dorado County Board of Supervisors to provide advice on the In-Home Supportive Services to the Board of Supervisors and the Public Authority.

SCOPE OF INVESTIGATION

People Interviewed

- El Dorado County Advisory Committee to the In-Home Supportive Services Public Authority, members, current and past
- El Dorado County IHSS PA, Program Manager
- El Dorado County Human Services, Director
- El Dorado County Human Services, Assistant Director
- El Dorado County Supervisor, District 2

Documents Reviewed

- Assembly Bill 1682
- Interagency agreement between the County of El Dorado and the El Dorado County IHSS Public Authority, signed August, 2004
- El Dorado County Advisory Committee to the In-Home Supportive Services Public Authority minutes, 2006-2007

- El Dorado County In-Home Support Services Public Authority Organizational Chart, 2006-2007
- El Dorado County IHSS PA, Advisory Committee web site
- The El Dorado County In-Home Supportive Services Public Authority Advisory Committee By Laws

1. Fact:

The Advisory Committee should be comprised of no more than eleven individuals. No less than 50% of membership should be individuals who are current or past recipients of personal assistance care services, up to two representatives that are current or past providers of private or IHSS PA homecare services, and up to three community members as representatives of community based organizations.

1. Finding:

The Advisory Committee is currently composed of four members: three current and past recipients and one community member.

1a. Recommendation:

Publicize the Advisory Committee in areas of senior assemblage in order to encourage awareness and participation in the committee.

1b. Recommendation:

Solicit membership through a broader range of notices, e.g. utilize civic organizations, church groups, local and metropolitan newspapers, public service announcements via radio and TV, insertion in mailings of public utilities, etc.

2. Finding:

There is difficulty in recruiting membership in the Advisory Committee.

- The work schedule of the providers may not allow sufficient time to attend meetings, or, respite care is not available to them.
- Recipients may not have the resources available to facilitate attendance at meetings.
- Community volunteers have expressed discouragement and confusion about their role in the Committee and the role of the Committee.

2a. Recommendation:

Provide respite care for providers.

2b. Recommendation:

Provide transportation, as needed, for recipients to participate in Advisory Committee meetings.

2c. Recommendation:

Hold meetings at locations where eligible recipients/providers congregate.

2d. Recommendation:

Utilize conference calling for meetings as needed.

2e. Recommendation:

Clearly define the role and responsibility of the Advisory Committee to its members.

3. Finding:

The IHSS PA is responsible for securing membership in the Advisory Committee.

3. Recommendation:

The Board of Supervisors must exercise its responsibility to obtain appropriate Committee members.

2. Fact:

The Advisory Committee is established to be independent and charged with giving advice and making recommendations to the Board of Supervisors on the preferred modes of service to be utilized for in-home supportive service; and to provide advice to the IHSS PA.

2a. Finding:

The Advisory Committee members are unaware and uninformed regarding the needs of the population it is supposed to represent.

2a. Recommendation:

The Human Services Department and the Human Resources Department should furnish to the Advisory Committee all relevant information as defined in their Interagency Agreement.

2b. Finding:

Pertinent issues of providers/recipients, labor contracts, etc. are not discussed with Advisory Committee members.

2b. Recommendation:

The Human Services Department and the Human Resources Department should furnish to the Advisory Committee all relevant information as defined in their Interagency Agreement.

2c. Finding:

The El Dorado County Human Services Department and the Human Resources Department are not providing input to the Advisory Committee as mandated in the Interagency Agreement between El Dorado County and the El Dorado County IHSS Public Authority signed August 2004.

2c. Recommendation:

The Human Services Department and the Human Resources Department should furnish to the Advisory Committee all relevant information as defined in their Interagency Agreement.

2d. Finding:

The Human Services Department has not facilitated communication between the Advisory Committee and the Board of Supervisors.

2d. Recommendation:

The Human Services Department should develop a mechanism for the Advisory Committee to communicate directly with the Board of Supervisors.

2e. Finding:

The Program Manager of the IHSS PA prepares and presents all reports of the Advisory Committee to the Board of Supervisors.

2e. Recommendation:

The Human Services Department should develop a mechanism for the Advisory Committee to communicate directly with the Board of Supervisors.

2f. Finding:

The El Dorado County IHSS PA organizational chart erroneously depicts a direct line of communication between the Board of Supervisors and the Advisory Committee.

2f. Recommendation:

The El Dorado County IHSS PA organizational Chart should accurately reflect the lines of communication that are in place.

2g. Finding:

The Advisory Committee has never met with the full Board of Supervisors.

2g. Recommendation:

The Board of Supervisors should initiate and maintain active involvement in the functions and responsibilities of the Advisory Committee.

2h. Finding:

The Board of Supervisors has not demonstrated sufficient support or interest in the Advisory Committee.

2h. Recommendation:

The Board of Supervisors should initiate and maintain active involvement in the functions and responsibilities of the Advisory Committee.

2i. Finding

There is an awareness of elder abuse, but investigation into this area has been negligible.

2i (1). Recommendation:

Investigation and remedy of evidence of elder abuse must be given high priority.

2i (2). Recommendation: Initiate education and training of providers to recognize and report physical, emotional, sexual and financial elder abuse.

3. Fact:

Meetings should be public and should be held monthly on a regular day at the locations and times designated by the committee. The IHSS PA Website, Advisory Committees section, states all efforts are made for transportation accessibility and that meetings may be offered via conference call.

3a. Finding:

Advisory Committee had ten meetings in 2006.

3a. Recommendation:

Hold meetings as mandated in By-Laws or change the By-Laws.

3b. Finding:

January and February 2007 meetings were canceled due to lack of attendance.

3b. Recommendation:

The Board of Supervisors must exercise their responsibility to obtain appropriate members.

3c. Finding:

There is no Vice Chair as mandated in the By-Laws.

3c. Recommendation:

Elect a Vice Chair per By-Laws.

3d. Finding:

The agenda and minutes for the Advisory Committee are prepared and written by IHSS PA staff who also conduct the Advisory Committee meetings

3d. Recommendation:

The Advisory Committee must prepare their own agenda and be responsible for conducting their own meetings.

4. Fact:

The 2006-2007 Budget for the Advisory Committee was prepared by the IHSS PA Program Manager.

4a. Finding

The Advisory Committee budget was included in the budget for IHSS PA.

4a. Recommendation:

The Advisory Committee should prepare its own budget and this should be kept separate from the budget of the IHSS PA.

4b. Finding:

The Advisory Committee members are uninformed about guidelines for spending their budget and its potential use.

4b. Recommendation:

The Advisory Committee should be provided with all information necessary to manage their budget.

4c. Finding:

The members are unaware of a method for presenting budgetary requests to the Board of Supervisors.

4c. Recommendation:

Human Services Department should develop a mechanism for the Advisory Committee to present budget requests to the Board of Supervisors independent of the IHSS PA.

EL DORADO COUNTY GRAND JURY 2006-2007

Community Services Districts

GJ06-037
March 2007

Reason for the Report

The El Dorado County Grand Jury received a complaint by a citizen and then received notification of issues from the County Auditor-Controller in regard to bid selection and approval of agreements for road repair contracted by the Marble Mountain Community Services District (Marble Mountain CSD). Upon completion of this investigation, it was apparent that no oversight exists. The Marble Mountain CSD Board of Directors is unaware of California Government Codes and ethics training.

Scope of the Investigation

People interviewed:

- Marble Mountain CSD Board of Directors, President
- Marble Mountain CSD Board of Directors, Treasurer
- El Dorado Local Agency Formation Commission (LAFCO), Executive Officer
- El Dorado County, Auditor-Controller
- El Dorado County, County Counsel
- El Dorado County, Deputy County Counsel

Documents reviewed:

- California Assembly Bill 1234
- California Government Code Section 1090-1099
- California Government Code Section 20682.5
- El Dorado LAFCO Memorandum, February 9, 2007
- Marble Mountain Community Services District By-laws
- Mills Construction Proposal, June 20, 2006 – upper section
- Mills Construction Proposal, June 20, 2006 – lower section
- Marble Mountain CSD, meeting minutes, dated:

November 14, 2006	September 12, 2006
August 8, 2006	July 11, 2006
June 13, 2006	May 9, 2006
April 11, 2006	

- Construction invoices, 8/15/2006, August 9, 2006 and July 31, 2006
- Evergreen Turf and Tree Care, Inc., invoice dated November 27, 2006

Background

The initial investigation involved whether the Marble Mountain CSD used competitive bidding in regard to road repair in accordance with California Government Code Section 20682.5. Another issue was if the Board of Directors had a financial interest in contracts awarded, per California Government Code Section 1090-1099.

Facts:

1. Marble Mountain CSD Board of Directors did not follow bidding processes as required by California Government Code Section 20682.5. They did not advertise to obtain bids and did not receive the three required written bids for road repair.
2. Interviewed members of the Board of Directors of Marble Mountain CSD are unaware of the California Government Code Section 1090-1099 in regard to awarding contracts.
3. Marble Mountain CSD Board of Directors are not aware of mandated Ethics Training as required by California AB 1234.
4. The Local Agency Formation Commission (LAFCO) does not provide ongoing oversight or support of Community Services Districts.
5. LAFCO responsibility regarding CSDs is limited to formation and/or dissolution.
6. The California Special Districts Association (CSDA) provides training, information, legal counsel and special risk management information.

Findings/Recommendations:

1. Finding:

Marble Mountain CSD Board of Directors did not fulfill their fiduciary duty by awarding contracts according to law, California Government Code Section 20682.5.

1. Recommendation:

The Marble Mountain CSD Board of Directors must educate themselves regarding the California Codes, statutes and other pertinent ordinances regarding contracts.

2. Finding:

The Marble Mountain CSD Board of Directors is not aware of the statutes in regard to ethics as required by California Government Code Section 1090-1099.

2. Recommendation:

The El Dorado County Auditor-Controller should annually provide notification to all Community Services Districts of the requirement to maintain necessary knowledge relevant to government codes and ethics.

El Dorado County Jail, Placerville

**GJ 06-039
March 2007**

SUMMARY

Penal Code Section 919(b) mandates that the El Dorado County Grand Jury annually inspect custodial facilities within the county. The Grand Jury inspection on October 26, 2006 of the El Dorado County Jail (the jail) revealed several maintenance and procedural problems.

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Reason for the Report

After observing the general condition of the facility and conversing with staff, concerns regarding the safety and welfare of the staff and inmates arose, requiring further investigation.

Scope of the Investigation

People Interviewed:

- El Dorado County, Sheriff
- El Dorado County, Undersheriff
- El Dorado County, Division Commander, Jails and Courts
- El Dorado County, Director of General Services
- El Dorado County, General Services, Jail Maintenance staff.

Documents Reviewed:

- El Dorado County Sheriff's Office, Custody Division, Policy and Procedures
- California Code of Regulations, Title 15, Sections 1029-1032, Policy and Procedures Manual
- California Code of Regulations, Title 15, Section 1280, Facility Sanitation, Safety and Maintenance.

Background

The Grand Jury, per Penal Code Section 919(b), is responsible for annually inspecting all jail facilities within the county. After inspecting the jail, significant issues are:

- maintenance of the facility
- jail expansion
- lack of knowledge of the facilities emergency procedures.

1. Fact:

The jail lacks proper and timely maintenance.

1. Finding:

The jail is deteriorating due to age and lack of maintenance, including:

- poor condition of the paint throughout the facility
- noticeable water leaks from an upstairs bathroom, onto the first floor hallway, leading into the kitchen
- antiquated and potentially dangerous kitchen equipment
- standing water in the kitchen
- uncertainty that the water shut-off valves work.

1. Recommendation:

Increase resources to properly maintain the jail and continually document the maintenance efforts.

2. Fact:

The level of preventive maintenance is insufficient.

2. Finding:

The maintenance person has little or no time for maintenance because he has to respond to immediate repairs on an event by event basis.

2a. Recommendation:

Establish a comprehensive preventive maintenance schedule that includes short and long term preventive measures. Maintain maintenance log that includes the work completed.

2b. Recommendation:

Provide sufficient staff to properly maintain the jail to include preventive maintenance.

2c. Recommendation:

Increase utilization of inmates in the maintenance and custodial responsibilities of the facility, under the supervision of the appropriate jail staff.

3. Fact:

The jail capacity is insufficient to accommodate the current and future inmate population.

3. Finding:

Currently, plans exist to add two hundred (200) beds but the plans do not take into account the impact the new casino may have on the jail facility. The current County allocation of casino fees for law enforcement may not be adequate to offset the anticipated increase in demands.

3. Recommendation:

Increase the scope of the current jail expansion plans to include the impact of the impending casino before expanding the facility.

4. Fact:

Emergency preparedness planning in the jail is insufficient.

4. Finding:

Management and staff on duty at the time of the inspection were unaware of emergency preparedness plans, including an evacuation plan for the jail. This Grand Jury is unable to ascertain if there are periodic safety drills to safely relocate inmates in the event of an emergency.

4a. Recommendation:

Review safety policy and procedures, note the date of each review, and revise policy and procedures if necessary. Ensure all emergency plans meet or exceed Title 15, Section 1029, Policy and Procedures Manuals and include:

- fire suppression preplan as required by Section 1032
- escape, disturbances, and the taking of hostages
- civil disturbance
- natural disasters
- periodic testing of emergency equipment storage, issue and use of weapons, ammunition, chemical agents, and related security devices.

4b. Recommendation:

Schedule training in emergency procedures including periodic drills. Initiate and maintain documents that record the date, time, type of training and names of staff who attend the training and drills.

4c. Recommendation:

Place the emergency preparedness plan in locations easily observed and accessible to staff. Instruct personnel of its locations upon assignment to the facility and during training.

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EL DORADO COUNTY GRAND JURY 2006-2007

El Dorado County Facilities

GJ 06-045

April 2007

SUMMARY

The El Dorado County Grand Jury conducts inspections of County, Municipal and Special District buildings, owned or leased, per Penal Code Sections 888, 914.1, 925, 925(a) and 928. The findings of these inspections associated with County owned or leased are presented in this report. County maintenance staff does an excellent job in identifying and addressing maintenance issues considering they are understaffed and they are working with a marginal budget. These facilities were chosen based on a number of factors including:

1. the length of time since last inspection
2. the reported condition of a facility
3. findings and deficiencies identified by previous El Dorado County Grand Juries.

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Facilities Inspected

El Dorado County Government Center

Building A

Building B

South Lake Tahoe

El Dorado Center

Library

Administrative Building

Courthouse

Facility

El Dorado County Government Center, Building A

1. Fact:

A wooden footbridge is the primary entrance to Building A and B of the Government Center.

1. Finding:

The wood decking on the bridge is deteriorating and is slippery when wet.

1. Recommendation:

Correct the deteriorating and slippery conditions.

El Dorado County Government Center, Building B

2. Fact:

Stairways that are inadequately lighted are unsafe.

2. Finding:

The stairway from the main entrance leading to the atrium is inadequately lighted.

2. Recommendation:

Add additional lighting to the stairway.

3. Fact:

Buildings A and B are both serviced by the cooling tower adjacent to building B. The cooling tower provides air conditioning to both buildings.

3. Finding:

The building tower is 34 years old and has deteriorated to the point that failure is imminent.

3. Recommendation:

The cooling tower should be replaced.

South Lake Tahoe, El Dorado Center

4. Fact:

Severely worn carpeting may present a tripping hazard.

4. Finding:

Carpets are worn throughout the building.

4. Recommendation:

Repair or replace worn carpet.

5. Fact:

Mold is a possible health hazard.

5. Finding:

Water stains appear on shingles inside and above entryway of the building. There is grey mold on bricks leading to the basement.

5. Recommendation:

Take action to eliminate the mold.

6. Fact:

Inoperable toilets present a health hazard.

6. Finding:

There is an ongoing problem with a toilet in this facility being stopped-up.

6. Recommendation:

Repair the plumbing.

7. Fact:

Adequate temperature control is essential to a healthy and productive work environment.

7. Finding:

Temperature control throughout the building is inconsistent. The Recorder's office had the door to the parking lot wide open for ventilation even though it is not a regular entrance door and the alarm warning light was flashing.

7. Recommendation:

Correct the deficiency to maintain an acceptable office temperature.

8. Fact:

State and local fire codes call for evacuation signs to be displayed in appropriate areas of the building so that egress from the building in an emergency can be accomplished in a rapid and safe time period.

8. Finding:

Emergency evacuation signs are posted in a few offices, most did not have any.

8. Recommendation:

Post emergency evacuation signs in appropriate areas.

9. Fact:

Fire extinguishers require monthly inspections.

9. Finding:

One fire extinguisher has not been checked since September 2006 and others not checked since January 2007. Fire extinguishers in hallways were locked and could not be checked. Locked fire extinguishers can not be easily accessed in an emergency.

9. Recommendation:

Ensure that the servicing agent provides monthly inspections and that fire extinguishers are easily accessed. Fire extinguishers should comply with Cal-OSHA requirements.

10. Fact:

Uneven floor surfaces are a tripping hazard.

10. Finding:

The entryway floor surface is uneven.

10. Recommendation:

Eliminate the uneven floor surface.

11. Fact:

An unlocked door allows unauthorized people to enter.

11. Finding:

There is no lock on the door at the end of the hall leading to an area housing the janitorial equipment. Additionally, there is no lock on the door leading to an electrical and HVAC room.

11. Recommendation:

Install locks as needed.

South Lake Tahoe, Library

12. Fact:

Adequate temperature control is essential for a healthy and productive work environment.

12. Finding:

Heating and air conditioning temperatures are maintained at an uncomfortable level.

12. Recommendation:

Correct the deficiency to maintain an acceptable office temperature.

13. Fact:

State and local fire codes call for evacuation signs to be displayed so that egress from the building in an emergency can be accomplished in a rapid and safe time period.

13. Finding:

Emergency evacuation signs are not prominently posted.

13. Recommendation:

Post emergency evacuation signs in appropriate areas.

14. Fact:

Meeting rooms must have a maximum capacity sign.

14. Finding:

There is no maximum capacity sign posted in the library meeting room.

14. Recommendation:

Post correct maximum capacity sign in the library meeting room.

15. Fact:

Exits from building must be clearly visible.

15. Finding:

Exit signs are not clearly visible.

15. Recommendation:

Install exit signs.

South Lake Tahoe, Administration Building

16. Fact:

Adequate temperature control is essential to allow for a healthy and productive work environment.

16. Finding:

Heat and air conditioning temperatures are maintained at an uncomfortable level.

16. Recommendation:

Correct the deficiency so that is it possible to maintain an acceptable office temperature.

17. Fact:

Water entering through a leaking roof can destroy the integrity of a building structure.

17. Finding:

There is evidence of water leaking through the roof.

17. Recommendation:

Repair leaks in roof.

18. Fact:

Mice can carry diseases.

18. Finding:

Mice are a periodic problem.

18. Recommendation:

Eliminate the rodent problem.

19. Fact:

Signs are needed to help the public find the building.

19. Finding:

Direction signs to the building are negligible.

19. Recommendation:

Display prominent direction signs.

20. Fact:

Noise in the workplace can disrupt productivity.

20. Finding:

A serious noise problem exists in the reception area.

20. Recommendation:

Minimize or eliminate the source of the noise.

South Lake Tahoe, Courthouse

21. Fact:

Walking surfaces should be even and free of defects.

21. Finding:

Carpets on second floor are buckled and duct taped in some areas.

21. Recommendation:

Repair or replace carpet.

22. Fact:

Obnoxious and nauseating odors are unhealthy.

22. Finding:

The mens restroom fan in Department Three is not functioning.

22. Recommendation:

Repair or replace the exhaust fan.

23. Fact:

State and local fire codes require emergency evacuation signs to be displayed.

23. Finding:

No evacuation signs exist.

23. Recommendation:

Post emergency evacuation signs in appropriate areas.

24. Fact:

Signs are necessary to direct people to the closest exit.

24. Finding:

There are no exit signs in the second floor hallway.

24. Recommendation:

Install clearly visible exit signage where needed.

25. Fact:

A leaking roof can destroy the integrity of the building structure.

25. Finding:

There is evidence of water leaking through the roof.

25. Recommendation:

Repair leaking roof.

26. Fact:

Public buildings should be wheelchair accessible.

26. Finding:

Courtrooms do not accommodate wheel chairs.

26. Recommendation:

Install wheelchair access where needed.

27. Fact:

Parking lots should be safe.

27a. Finding:

There are a few small lights on the parking lot wall. Lighting is inadequate and there are no flood lights or security cameras in the Courthouse parking lot. Staff is afraid to go into the parking area at night.

27b. Finding:

Employees are fearful of being in close proximity to prisoners on a frequent basis in the parking lot.

27. Recommendation:

Install appropriate lighting, security cameras and provide a secure and safe parking lot for employees.

28. Fact:

Infectious material is a hazard.

28. Finding:

Infectious materials are frequently found in the Courthouse parking lot.

28. Recommendation:

Investigate and eliminate the source of the health hazard.

29. Fact:

A secure holding cell is required for prisoners prior to court appearance.

29. Finding:

There is no secure holding cell.

30. Recommendation:

Provide a secure holding cell.

EL DORADO COUNTY GRAND JURY 2006-2007

City of Placerville Facilities

GJ 06-046

May 2007

SUMMARY

The El Dorado County Grand Jury conducts inspections of County, Municipal and Special District buildings, owned or leased, per Penal Code Sections 888, 914.1, 925, 925(a) and 928. The findings of these inspections associated with the City of Placerville are presented in this report. These facilities were chosen based on a number of factors including:

1. the length of time since last inspection
2. the reported condition of a facility
3. findings and deficiencies identified by previous El Dorado County Grand Juries.

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Facilities Inspected

City of Placerville, Police Department
City of Placerville, City Hall

Facility

City of Placerville, Police Department

COMMENDATION

The El Dorado County Grand Jury recognizes the efforts of the City of Placerville, Police Department to work and function in an outdated and inadequate facility.

1. Fact:

Proper space is necessary for operational efficiency.

1. Finding:

The Police Department does not have a meeting room. Due to the lack of space, a small squad room is used and it is too small to accommodate staff.

1. Recommendation:

Provide a larger room with a meeting table, hookups for a computer, a corkboard, a telephone and a map of the jurisdiction.

2. Fact:

An eye care station is necessary to treat persons exposed to toxic materials.

2. Finding:

The existing “eye care station” is deficient because an inadequate water supply and the space around the eye care station is severely limited.

2. Recommendation:

Correct the water supply problem and provide more space so that emergency care can be provided.

3. Fact:

Hallways and corridors should be free for passage of people and equipment.

3. Finding:

Furniture is stored in a hallway.

3. Recommendation:

Move the furniture, in the event of an emergency, hallways are exit routes and must be kept clear.

4. Fact:

Facilities with sprinklers are safer.

4. Finding:

There are areas within the building that are not protected by the fire sprinkler system.

4. Recommendation:

Check with local fire prevention to determine if the fire sprinkler system meets current building standards and update if necessary.

5. Fact:

Fire extinguishers require servicing according to local code.

5. Finding:

Fire extinguishers have not been serviced in years.

5. Recommendation:

Have fire extinguishers serviced. Also, have fire prevention staff determine if the existing fire extinguishers are properly located, identified and are of the proper size and class.

6. Fact:

Adequate temperature control is essential to allow for a healthy and productive work environment.

6. Finding:

The heating, ventilation and air conditioning (HVAC) system is not working well. Portable fans are being used to help move air throughout the facility.

6. Recommendation:

Repair or replace the HVAC system.

7. Fact:

Damaged ceiling tiles may present a hazard.

7. Finding:

There are broken or damaged ceiling tiles in a number of locations within the facility.

7. Recommendation:

Repair or replace as necessary.

8. Fact:

Water pressure should be adequate for proper equipment functioning.

8. Finding:

Water pressure throughout the facility is inadequate.

8. Recommendation:

Repair or replace as necessary.

9. Fact:

Signage must be adequate to give direction to locations.

9. Finding:

The signage identifying the location of the City of Placerville, Police Department is inadequate.

9. Recommendation:

Provide signage that can be seen both during the day and at night.

City of Placerville, City Hall

10. Fact:

State and local fire codes call for evacuation signs to be displayed in appropriate areas of the building so that building egress in an emergency can be accomplished in a rapid and safe time period.

10. Finding:

There are no emergency evacuation plans posted in this facility.

10. Recommendation:

Contact local fire authority to obtain information regarding required content of emergency evacuation plans. Develop the plans and post as recommended by the fire authority.

EL DORADO COUNTY GRAND JURY 2006-2007

City of South Lake Tahoe Facility Inspection

GJ 06-047

May 2007

SUMMARY

The El Dorado County Grand Jury conducts inspections of County, Municipal and Special District owned or leased buildings as per Penal Code Sections 888, 914.1, 925, 925(a) and 928. The findings of this inspection are presented in this report. This facility was chosen based on a number of factors including.

1. The length of time since last inspection
2. the reported condition of a facility
3. findings and deficiencies identified by a previous El Dorado County Grand Jury.

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Scope of the Investigation

South Lake Tahoe Police Department

Commendation

The El Dorado County Grand Jury recognizes the efforts of the City of South Lake Tahoe Police Department's efforts to update and modernize their facility.

1. Fact:

Fire codes require fire extinguishers be serviced every two years.

1. Finding:

Fire extinguishers have not been serviced as required.

1. Recommendation:

Have the fire extinguishers serviced. Also, have the local fire authority determine if the existing fire extinguishers are properly located, identified and are of the proper size and class.

2. Facts:

Fire codes require posting of Emergency Evacuation Plans.

2. Finding:

There are no Emergency Evacuation Plans posted in this facility.

2. Recommendation:

Contact local fire authority to obtain information regarding required content of Emergency Evacuation Plan. Develop the plan and post as recommended by the local fire authority.

3. Fact:

Most manufacturers recommend that computer equipment be maintained at a controlled temperature.

3. Finding:

The Computer Room does not have appropriate temperature control and monitoring equipment.

3. Recommendation:

Obtain and install temperature control monitoring equipment dedicated to the computer equipment room.

4. Fact:

For security reasons admittance to the Police Department must be a safe and controlled environment.

4. Finding:

The location and design of the reception area does not lend itself to these requirements.

4. Recommendation:

Review options for improving the layout of the reception area and make changes where possible.

5. Fact:

Proper signage facilitate efficiency and a safe environment.

5. Finding:

Departments and Sections within the facility do not have signs that identify their locations.

5. Recommendation:

Develop and place signs throughout the department and sections that will assist in directing visitors.

EL DORADO COUNTY GRAND JURY 2006-2007

El Dorado County Juvenile Hall, Placerville

COMMENDATION REPORT

GJ 06-048
March 2007

On Wednesday, January 17, 2007 the Grand Jury visited the El Dorado County Juvenile Hall, Placerville in compliance with Penal Code Section 919(b). The visit included housing units, kitchen, sanitation/shower facilities, indoor and outdoor exercise areas and schoolrooms.

The residential area is neat and clean. Floors are spotless, beds are neatly made and bedding is adequate for comfort.

Isolation, medical, behavioral and protective spaces are realistic and appropriate to individual needs.

There is a central observation room with updated monitoring equipment in place. Responses to questions and observation indicate that security is being addressed appropriately.

The kitchen and the food preparation areas are very clean. The food service staff is experienced and their dedication to providing nutritious and tasty meals to the wards is obvious.

The classroom area is appropriate for a learning environment. The teaching staff is comprised of a principal, two teachers and an aide. The El Dorado County Office of Education provides the program and materials.

The El Dorado County Juvenile Hall, Placerville staff is commended for their dedication in providing a safe and secure detention area for juvenile wards. They conduct their custodial responsibilities with care and understanding. The focus on redirecting the behavior of their wards is impressive.

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EL DORADO COUNTY GRAND JURY 2006-2007

Wraparound Program Audit

GJ 06-049

May 2007

BACKGROUND

In November 2005, the El Dorado County Department of Mental Health released their “Mental Health Service Act” (MHSA) report (Proposition 63). This study was conducted between the months of February 2005 and October of 2005, to identify and prioritize unmet mental health needs in the County. In total, over 900 community members were consulted and participated in the study including:

- 82 focus groups and MHSA trainers
- 23 interviews
- 5 written surveys resulting in 545 responses.

In addition, one-hundred four (104) community representatives, mental health consumers and their family members were involved in the workgroup planning process. In this comprehensive process, members representing a broad range of service providers were included in the workgroups.

According to the reports, during deliberations several themes became apparent through the community outreach efforts. These themes included five (5) different programs which were eligible for funding under the newly established “Mental Health Service Act.”

One (1) of the five (5) programs identified was “Wraparound services for uninsured youth at risk for out of home placement”. The community issue was to reduce out of home placement for youth and to provide a safe and stable living environment. According to the program description, the estimated need was for four hundred (400) youth per year as identified in the MHSA study dated November 10, 2005.

The program description was as follows:

“Wraparound Services is a collaborative, team-based, family-driven service delivery model which includes clinical case management, an individualized service plan, and flexible supports and services. Case management and service delivery are implemented in a convenient and comfortable location for the family who also directs the use of family, community and system supports”.

The 2004-2005 Grand Jury initiated a Wraparound Program audit, with the results published in last year’s 2005-2006 Grand Jury year end report (see Grand Jury Year-End

report FY 2005-2006.) The deficiencies in the program as reported last year were subject to improvement and the 2006-2007 Grand Jury believed a follow up audit was warranted. The Consulting Group of Harvey M. Rose Associates, LLC was again retained to conduct a limited follow up audit of the Wraparound Program for compliance with the recommendations as reported to the Board of Supervisors.

2006-2007 LIMITED AUDIT OF WRAPAROUND PROGRAM

The audit report reflects the recent results and status of the progress achieved by the El Dorado County Human Services and Mental Health Departments. The 2006-2007 Grand Jury readily acknowledges that the Wraparound Program has significantly improved since its inception in 2001, and has made major improvements since the last audit that was completed in January 2006. We especially acknowledge improvement in the areas of administration and fiscal responsibility. However, the program has yet to improve on measurement of results achieved and follow up evaluations on its participants for creating future programs and funding effectiveness. These areas of concern need to be addressed and should be in full compliance within the next fiscal year.

In this audit, of special concern is the limited number of youth included in the Wraparound Program. The Department of Mental Health in 2005 estimated that 400 youth in El Dorado County could benefit from the Wraparound Program. Since 2002 the County has approved only six (6) service allocation slots for funding. That number is below the median of 7.6 slots per 100,000 populations as compared to some other counties who have the Wraparound Program. The population in El Dorado County is slightly over 176,000, per the latest count, as compared to Humboldt County which has a population of 132,526 and 11.3 slots.

This Grand Jury is concerned that there is a 43.8% “graduation” rate from the Wraparound Program in El Dorado County. In essence, “graduation” means that the youth has fulfilled all requirements as agreed upon at the start of his/her and family involvement in the system. However, there is no follow up after the “graduation” and statistics are not available as to the success rate for the “graduates.” One must ask what happened to the 56.2 % who did not “graduate.” Did the program fail them and if so, why? Again, no follow up data.

As a family based program, families must be thoroughly and frequently informed both in writing and verbally regarding the number and types of services available to them, both traditional and non-traditional. Families need to be informed that there are choices beyond those offered through the County Mental Health Department. If any obtainable services are unknown to the family then they cannot be utilized, resulting in reduced care given to those who are most needful.

It becomes apparent by the questions raised in the audit that the results are subject to interpretation and further study. Both the Director of Human Services and the Director of Mental Health were interviewed after the audit was finalized and had different opinions

of the results of the audit. Both Departments obviously have great responsibility for the program and need to work closely together.

This Grand Jury finds that much progress has been made by both the Human Services and Mental Health Departments. However, much more effort needs to be focused on the follow up of the youth engaged in the program, with funding more rapidly available for support and payment of services.

This Grand Jury can only report the facts as well as the findings and follow up recommendations presented in the Harvey M. Rose Associates, LLC audit of May, 2007. The final decision rests with the Board of Supervisors to read the audit results and make the necessary decisions for the betterment of the County population and its youth.

It is this Grand Jury's recommendation that the Board of Supervisors request a major effort be initiated by the Departments of Human Services and Mental Health to improve this County's Wraparound Program to the level where it would become a model for other counties in the State of California. This Grand Jury believes that this unique program, if funded and managed properly, will pay for itself in the future with many benefits for the citizens of the County, such as lessening of the crime rate and a healthy community. The future of our society rests with its youth.

Findings/Recommendations:

See attached **Audit of Status of Recommendations from January 2006 Audit of El Dorado County's Wraparound Program** prepared by: Harvey M. Rose Associates, L.L.C., May, 2007 (pages 1 through 28 to follow).

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**Audit of Status of Recommendations
from the January 2006 Audit of
El Dorado County's
Wraparound Program**

**Confidential Report
prepared for:**

The FY 2006-07 El Dorado County Grand Jury

**Prepared by:
Harvey M. Rose Associates, LLC
May, 2007**

May 1, 2007

Mr. Ray Van Asten, Foreman
Members, FY 2006-07 El Dorado County Grand Jury
P.O. Box 472
Placerville, CA 95667

Dear Mr. Van Asten and Members of the FY 2006-07 El Dorado County Grand Jury :

Harvey M. Rose Associates, LLC is pleased to submit this Audit of the Status of Recommendations from the January 2006 Audit of El Dorado County's Wraparound Program. This report presents information on each recommendation from the previous audit, what has been done and what remains to be done for full implementation. New information and recommendations are also presented to account for changes in conditions and to provide elaboration of the prior recommendations in some cases.

There has been progress made in the Wraparound program since the previous audit particularly in the areas of fiscal and administrative management. Some recommendations still need to be implemented, in particular management needs to establish annual program goals and objectives and measure program outcomes and performance in annual evaluations. An assessment is needed of the current number of program slots relative to the program's target population.

As discussed in the Executive Summary, the Departments of Mental Health and Human Services both received a draft version of this report and provided comments and feedback before it was finalized. The Department of Human Services responded with 104 concerns about our 28 page report ranging from clarifying information to some broad criticisms of the report and audit process. Our response to these areas of broad criticism are provided in the Executive Summary. The Department of Mental Health provided comments and feedback that have been incorporated where appropriate.

Thank you for this opportunity to serve the El Dorado County Grand Jury. Please feel free to contact us at any time if you wish further information about this report.

Sincerely,

Fred Brousseau
Principal

Executive Summary

Harvey M. Rose Associates, LLC was retained by the FY 2006-07 El Dorado County Grand Jury to conduct an audit of the status of the County's implementation of the January 2006 "Audit of Claiming and Financial and other Reporting for the Wraparound Program of El Dorado County" conducted by our firm for the FY 2005-06 El Dorado County Grand Jury.

Wraparound is a State authorized program that allows California counties to use State foster care and Adoption Assistance funds in a flexible manner to provide eligible youth with services as an alternative to group home care. The program is for youths who are residing, or are at risk of being placed, in group homes licensed at Rate Classification Levels 10-14, the most costly out-of-home facilities designed for youths with severe emotional disturbances. For each participant assigned to a program slot, the State provides the County with 40 percent of what their cost would be in a group home and the County is required to provide 60 percent. The funds can be used flexibly based on what the youth and their support teams determine to be in their best interest to achieve their goals. The State requires that counties participating in the program perform certain planning and program evaluation functions.

To conduct this audit, all recommendations from the January 2006 audit were reviewed and their status determined. The report presents that information along with updates to each recommendation such as changes in departmental plans to implement the recommendations or, in some cases, further information and analysis pertaining to the original recommendations. New recommendations are presented related to the first audit recommendations or updated to reflect changes in circumstances since the January 2006 audit was completed.

A summary of the findings and recommendations in each section is presented below.

1. Status of Compliance with Wraparound Program Requirements Recommendations

Summary of Findings:

- Many of the recommendations from the January 2006 Wraparound program audit pertaining to compliance with Wraparound Program requirements have been implemented or partially implemented. Improvements have been achieved in the areas of management oversight and tracking and reporting of program participants and costs.
- Audit recommendations still needing to be implemented are management establishment of annual program goals, objectives and operational guidelines and conduct of annual evaluations of program outcomes and cost-effectiveness. The Department of Human Services has not yet conducted its first evaluation of the program yet but is planning to conduct

one at the conclusion of FY 2006-07 and provide it to the Board of Supervisors in the first quarter of FY 2007-08.

- As demonstration of the need for program evaluation and Interagency Advisory Council involvement in setting annual goals, objectives and operational guidelines, 25 percent of participants exiting the program in the last year have been placed in group homes and 22 percent left because the family chose to withdraw. Since these two reasons for departure account for nearly half the program exits, they should be analyzed by program staff and used to determine if changes in program protocols are needed or if this is an acceptable rate of program completion given the population served.
- Graduations from the Wraparound program also need to be more fully defined and reported on so that County managers and the program's Interagency Advisory Council understand the outcomes of the youths who have participated in the program.

2007 Recommendations

The Board of Supervisors should:

- 1.1 Direct the Interagency Advisory Council to immediately establish measurable Wraparound program goals, objectives and outcome measures and methods for regularly monitoring and evaluating those goals and measures including an assessment of the reduction in number of group home placements resulting from the program, to ensure that is operating effectively and cost efficiently and to be reported annually to the Board of Supervisors.
- 1.2 Direct the Interagency Advisory Council to conduct some short-term, focused evaluation as soon as possible requiring staff to report on current program outcomes including an analysis of the 43.8 percent graduation rate through January 2007 and to provide details on graduations and other exits by reason such as group home placements, stabilization of family situation, child arrested, child terminated from dependency, etc.
- 1.3 Direct the Interagency Advisory Council to continue current efforts to measure family satisfaction with the Wraparound program so that these results can be included in annual program evaluation reports, the first of which will be presented to the Board of Supervisors by the Department of Human Services in the first quarter of FY 2007-08.
- 1.4 Direct the Interagency Advisory Council to identify specific characteristics about the Wraparound program target population for internal management purposes and for inclusion in the first annual evaluation report to be prepared for the Board of Supervisors in the first quarter of FY 2007-08.

- 1.5 Direct the Interagency Advisory Council to prepare an analysis for the Board of Supervisors regarding why six Wraparound program service allocation slots are sufficient relative to total need of the program's target population in the County.

2. Status of Wraparound Program Fiscal Management Recommendations

- Fiscal management and reporting for the Wraparound program has improved substantially since the January 2006 audit. The Department of Human Services has assumed the fiscal management role for the program and maintains an up to date database of expenditures and revenues and program participants, all of which is reported regularly to the program's Interagency Advisory Council. All six service allocation slots have been close to full for the first half of FY 2006-07 which maximizes state and County revenue available for the program. Budgeted and actual expenditures and revenues for the current fiscal year appear to be more closely aligned than they were in the years reviewed for the January 2006 audit.
- The \$173,244 in unspent program funds identified in the January 2006 audit is still largely unspent. In fact, the amount has increased to approximately \$247,775 due to the collection of subsequent revenues in excess of expenditures and the discovery of approximately \$50,000 in previously unreported revenue by the Department of Mental Health. Though protocols are now in place for determining how these surplus funds will be spent, and most of the funds have been committed for contract services, the rate of expenditure for these services has been slow, with only \$15,467 of the \$247,775 spent. County staff point out that the County contracting process contributes to the time it has taken to expend these funds.
- Most of the planned uses of program surplus funds are for parent/staff trainings and services such as foster parent respite and transitional housing services that could also be provided directly to program participants if, consistent with the Wraparound program approach, that is what participant teams identified as most beneficial to them. But for the most part the program does not provide services to participants other than those offered by the Department of Mental Health and its contractors. The availability of a broader array of services such as tutoring, job training for youth and parents, substance abuse counseling, private mental health clinicians, parent coaching and others should be made know to program participants rather than only services planned and provided by County officials. Program funding is flexible and can also be used for services provided by other County departments, the private sector or community organizations.

2007 Recommendations

The Board of Supervisors should:

- 2.1 Direct the Interagency Advisory Council to consider using a portion of the surplus program funds available to enhance or replace direct services provided to participants by the Department of Mental Health and their contractors and to report back to the Board of Supervisors a timetable regarding planned expenditure of the surplus funds to ensure that services are provided within the next six months in a way that is most beneficial to youth at risk of group home placement as a first priority, and, second, to children's services in general.
- 2.2 To ensure that Wraparound program parameters are clearly communicated to participants, their families and teams, direct the Interagency Advisory Council to include information in the "Family Guide to Wraparound Care in El Dorado County" document that funding is available for emergency support of necessities and for non-County services such as private clinician services, private lessons and fees for clubs and extracurricular programs, if determined to be in the best interests of the child.

3. Status of Wraparound Program Records Recommendations

- Accurate staff time records were not in place for a number of the Wraparound program years reviewed for the January 2006 audit, resulting in charges to the program funds that were lower than actual costs. There were no records kept on the basis for which non-revenue generating children were admitted to the program. These records are now being maintained by the Departments of Mental Health and Human Services.
- The January 2006 audit found that youth participating in the program were not always receiving the clinical mental health services specified in their plans and it was recommended that Wraparound program managers identify program capacity each year to enable the development of realistic service plans. These comparisons are no longer possible as the Department of Mental Health has discontinued specifying hours of services to be provided in their mental health service plans, making it difficult for program managers to determine staff utilization and to assess if more children can be accepted in to the program.
- The range of services and funding available to children and families participating in the program are not publicly documented. Since a key tenet of the Wraparound approach is for participant teams to determine the services that best meet their needs, written information should be provided to participants in addition to oral representations at team meetings to document the flexibility in types of services and funding that can be made available.

2007 Recommendations

- 3.1 Direct the Department of Human Services to modify its "Family Guide to Wraparound Care in El Dorado County" and other Wraparound program literature to make clear the wide variety of services available to participants and their

- families and that it is the family team's choice, not that of County officials, about who provides needed services.
- 3.2 Direct the Department of Human Services to prepare a Wraparound program capacity analysis to estimate the level of Wraparound services that can be provided through the program through County, contractor and community-based services providers.
- 3.3 Direct the Department of Human Services to combine the capacity analysis with the recommended target population analysis to determine if there is a need and opportunity to expand the program to ensure that services are available for and accessible to all County youth at risk of group home placement.

Feedback from the Departments of Mental Health and Human Services

Both the Departments of Mental Health and Human Services reviewed and provided comments and feedback on a draft version of this report. The Department of Mental Health had several comments, corrections and suggestions for changes. The Department of Human Services (DHS) provided a 20 page response with 104 concerns. Some of those concerns were typographical errors, requests for clarifications or other matters that have been addressed in this version of the report. A number were of a broader nature and with which we have some fundamental disagreement, as follows.

- 1. DHS expressed concern that this report went beyond its scope of providing an assessment of the status of the January 2006 audit recommendations.**

Response: The scope of this audit remains an assessment of the status of the January 2006 Grand Jury audit recommendations. It includes a simple assessment of whether each recommendation is implemented, partially implemented or not implemented. It also includes discussion of how recommendations have been implemented or why they are partially or not implemented. In some cases, discussions are included as to how DHS plans to address partially or not implemented recommendations.

New recommendations are also included that address the same issues as the January 2006 audit but with more current information or elaboration on the basis for the original recommendations.

- 2. DHS expressed concern that by making recommendations the consultant and Grand Jury is inappropriately intervening in Board of Supervisors and Department roles and processes.**

Response: This audit was not bound by any plans made by DHS and the Board of Supervisors, though they were reviewed. The Grand Jury is authorized by statute to conduct reviews of county operations, functions and officers. The purpose of this audit was to conduct an independent assessment of the status of the recommendations from the previous audit. For DHS to summarily reject recommendations for program performance measures, for example, because they are from an “outside party” fails to recognize the role of the Grand Jury as part of the County structure. To suggest that the Grand Jury should not comment on how many Wraparound program slots are in place also reflects a misunderstanding of the role of the Grand Jury. Finally, to state that the Grand Jury audit is distracting staff from providing important public services overlooks the fact that the Grand Jury is part of the public process and has that statutory right to review and make recommendations to improve those important public services.

3. **DHS stated that is has implemented recommendations pertaining to the need for the Wraparound Program Interagency Advisory Council establishing annual program goals, objectives and operational guidelines.**

Response: The intent of the recommendation in the January 2006 audit was for the Interagency Advisory Council to set specific program goals and objectives for the program each year. These are not the same as program assumptions or general discussions in meetings but would include measurable outcomes such as the number of participants in the program relative to a defined population of at-risk youth in the County, the number of participants kept out of group homes, the number of participating families reporting satisfaction with the program and others. We have not seen evidence that such goals and objectives have been established by the Interagency Advisory Council.

4. **DHS states that no evaluation of program outcomes can be expected at this point because it has developed a plan to conduct an evaluation at the end of FY 2006-07 with one years' worth of data, to be presented to the Board of Supervisors in the first quarter of FY 2007-08. The Department therefore disagrees with the characterization that the recommendation to evaluate program outcomes has not been implemented.**

Response: This recommendation simply has not been implemented. We do acknowledge the department's plans to conduct an evaluation at the end of FY 2006-07 as arranged between the Department and Board of Supervisors. But the Department could have implemented the recommendation by conducting an evaluation of FY 2005-06 results.

The Department also takes exception to program outcome data presented in the report showing that only 43.8 percent of program participants have graduated, stating that the auditor does not have sufficient evidence to conclude that this is a poor outcome. Due to the absence of program evaluations, the Department has not presented any evidence that this is a positive outcome.

Introduction

Harvey M. Rose Associates, LLC was retained by the FY 2006-07 El Dorado County Grand Jury to conduct an audit of the status of the County's implementation of the January 2006 "Audit of Claiming and Financial and other Reporting for the Wraparound Program of El Dorado County" conducted by our firm for the FY 2005-06 El Dorado County Grand Jury.

The Wraparound program is a State-authorized program that allows counties to flexibly use State and local funds that would otherwise be used for group home placements for individualized services to prevent at risk youth from being placed in group homes. In El Dorado County, funding is obtained from the State by the Department of Human Services, combined with County funds and used to provide services. The County Department of Mental Health and its contractors provide most of the program's direct services through its clinical staff and its Mental Health workers. Three private organizations contract with the Department of Mental Health to provide additional resources and services: 1) Sierra Family Services; 2) Summitview; and; 3) Tahoe Youth and Family Services. The County program was initiated in 2002.

Audit Methods

Methods used to conduct this audit included the following:

- ❑ Interviews with directors, program managers and key staff at the Department of Human Services and the Department of Mental Health were conducted.
- ❑ A follow up assessment on each recommendation from the January 2006 audit report was conducted through staff interviews and review of program records and documents such as budget and detailed actual expenditure and revenue, records, invoices and Foster Care claiming documents, program participant census data and Department of Mental Health invoices for services.
- ❑ Detailed program financial records for FY 2005-06 and part of FY 2006-07 were reviewed.
- ❑ Detailed program participant records was reviewed including details on youth assigned to the program's six service allocation slots and those assigned to the non-revenue generating slots.
- ❑ A sample of individual case records were reviewed including treatment plans, billing records and case progress notes.
- ❑ Governance documents were reviewed including the County's Wraparound Program Plan, as amended August 2006, the program's interagency Memorandum of Understanding, executed in 2005, and agendas and minutes from meetings of the program's Interagency Governing Council, the County's Cross-Systems Operations Team and the Placement Committee.

- Documentation and budgets regarding programs and services to be funded with surplus program funds were collected and reviewed.

A draft report was prepared with the results of the audit presented in the same three finding areas as the January 2006 audit report. The draft report was reviewed by the Departments of Mental Health and Human Services, some changes were made based on their input and comments and the final report was transmitted to the FY 2006-07 El Dorado County Grand Jury.

Background: Wraparound Program

The Wraparound program was created by State legislation adopted in 1997¹ that allowed California counties to use State foster care and Adoption Assistance funds in a flexible manner to provide eligible youth with services as an alternative to group home care. The program is for youths who are residing, or are at risk of being placed, in group homes licensed at Rate Classification Levels 10-14, the most costly out-of-home facilities designed for youths with severe emotional disturbances. While behaviors can vary, risk behaviors include fighting, stealing, vandalism, running away, self-mutilation, cruelty to animals and others. Under the Wraparound program, qualified youth are provided with intensive, individualized family-based services designed to keep them with their families, or to return them to their families if they are already in an out-of-home placement. Services can be provided, according to the State legislation, to youths living with their birth parents, relatives, adoptive parents, licensed or certified foster parents, or guardians. They can include traditional mental health services, therapeutic behavioral services, recreation program participation, mentoring services, family counseling and others.

Funding for the program consists of State funding at the same rate as would be provided for group home placements, which vary based on each participant's Rate Classification Level (RCL). The County is required to match the State funds provided at the rate of approximately 60 percent of the total cost. The funds are provided to the County's Department of Human Services in El Dorado County which may enter into interagency agreements with other County departments for the provision of wraparound services.

The statute requires participating counties, at their option, to develop a plan for wraparound services and monitor the provision of those services consistent with the plan. The plan, to be submitted to the State Department of Social Services for informational purposes, is to include:

- A process and protocol for reviewing and determining how children become eligible for and are admitted to the program.
- Processes for developing, modifying and denying individualized services plans for each youth participant so that the services provided continue to meet the childrens' needs as their circumstances change.

¹ California Welfare & Institutions Code §18250 et. seq.

- A process for parent support, mentoring, and advocacy to ensure parent understanding and participation in the program.
- A planning and review process to support and facilitate the following program principles:
 - Focus on the individual child through individualized service plans rather than a formulaic or standardized approach with all services the same for all participants regardless of their needs or circumstances.
 - Providing services geared to enabling the participants to remain in the least restrictive, most family-like settings possible.
 - Developing a close and collaborative relationship with the family.
 - Conducting a thorough, strengths-based assessment of each child and family that serves as the basis of individualized service plans rather than plans based on all the problems or weaknesses of the participating youth and their families.
 - Designing and delivering services that incorporate the religious customs, and regional, racial, and ethnic values of the youths and families served.
 - Measuring satisfaction of participants and their families with the program process and services to assess program outcomes.
- Written interagency agreements or memorandum of understanding between the county departments of social services, mental health and probation that specify jointly provided or integrated services, staff tasks and responsibilities, budget considerations and related matters.

The statute also requires that each county evaluate its program to determine its cost and effectiveness in achieving the program's goals. Each county is to ensure that staff participating in the project has completed training provided or approved by the California Department of Social Services.

The Wraparound program in El Dorado County has a net operating expenditure budget of \$345,521 for FY 2006-07 and assumes a monthly average enrollment of 35 youths and their families. The total actual number of youth served will depend on the length of participation for each youth served, but between July 2006 and January 2007, a total of eight youths had participated in the six service allocation slots and 49 youths had participated in the non-revenue generating slots.

1. Status of Compliance with Wraparound Program Requirements Recommendations

- 1.1 Many of the recommendations from the January 2006 Wraparound program audit pertaining to compliance with Wraparound Program requirements have been implemented or partially implemented. Improvements have been achieved in the areas of management oversight and tracking and reporting of program participants and costs.**
- 1.2 Audit recommendations still needing to be implemented are management establishment of annual program goals, objectives and operational guidelines and conduct of annual evaluations of program outcomes and cost-effectiveness. The Department of Human Services has not yet conducted its first evaluation of the program but is planning to conduct one at the conclusion of FY 2006-07 and provide it to the Board of Supervisors in the first quarter of FY 2007-08.**
- 1.3 As demonstration of the need for program evaluation and ongoing Interagency Advisory Council involvement in setting annual goals, objectives and operational guidelines, 25 percent of participants exiting the program in the last year have been placed in group homes and 22 percent left because the family chose to withdraw. Since these two reasons for departure account for nearly half the program exits, they should be analyzed by program staff and the Council and used to determine if changes in program protocols are needed or if this is an acceptable rate of program completion given the population served.**
- 1.4 Graduations from the Wraparound program also need to be more fully defined and reported on so that County managers and the program's Interagency Advisory Council understand the outcomes of the youths who have participated in the program.**

The recommendations pertaining to the County's compliance with Wraparound Program requirements contained in Section 2 of the FY 2005-06 El Dorado Grand Jury's Audit of Claiming and Financial and Other Reporting for the Wraparound Program of El Dorado County, published in January 2006, are presented below. The status of each recommendation is classified as either Implemented, Partially Implemented or Not Implemented and is accompanied by a brief explanation.

Summary of January 2006 audit findings

A summary of the findings in the January 2006 audit pertaining to the County's compliance with Wraparound program requirements are as follows:

- ❑ Wraparound is a State-authorized program that allows counties to flexibly use State and local funds that would otherwise be used for group home placements to provide individualized services to prevent at risk children from being placed in group homes. In El Dorado County, funding is obtained from the State by the Department of Human Services, combined with County funds and transferred to the Department of Mental Health which administers the program.
- ❑ The County is not operating in full compliance with its key governance documents: State law; the County Wraparound plan; and, a Memorandum of Understanding between the Departments of Human Services and Mental Health. Key areas of non-compliance include: the absence of an executive management team assuming responsibility for planning and monitoring program performance and a lack of procedures to ensure family understanding of and input to the program. Among other impacts, the lack of a Wraparound program management structure has resulted in under-expending available program funds, lower service levels than anticipated and over-budgeting every year of the program.
- ❑ State legislation requires that counties providing Wraparound services designate a number of service allocation slots for participating children. State funding is provided based on the number of such slots filled each month. The County's Department of Mental Health has expanded program participation by including children at risk of group home placement in addition to those in the authorized service allocation slots. Services for these other children are provided with funds not spent on the children in the authorized slots. The methods for determining eligibility and expenditure levels for these additional children have not been documented in the County's Wraparound plan or any other Department documents.
- ❑ A Memorandum of Understanding between the Departments of Human Services and Mental Health calls for reinvestment of savings realized in the Wraparound program to other children's services. A definition of such savings has not been established nor has a process for the two departments to determine how funds should be reinvested. As a result, approximately \$173,244 in program funding has accumulated over the last three year fiscal years that could have been reinvested in other services for children.

Status of January 2006 recommendations

The status of the January 2006 recommendations in this area are as follows:

The Board of Supervisors should:

January 2006 Recommendation	Status/Discussion
2.1 Formally delegate management responsibility for the Wraparound program to the multi-departmental Interagency Governing Council* to continue to be comprised of, at minimum, the directors of the Departments of Human Services, Mental Health and Probation.	Partially implemented: The Board of Supervisors did not take formal action to delegate management responsibility for the Wraparound Program to the Interagency Advisory Council. However, the Council has reconstituted itself comprised of the Directors of Human Services, Mental Health, Probation, Public Health, the Superintendent of the County Office of Education, a Superior Court Commissioner, a representative of Court Appointed Special Advocates and a dependency attorney. A review of minutes from their regular meetings shows that the Council has assumed management responsibility for the program through its discussion and review of matters such as program participation and expenditures, roles and responsibilities of all agencies, reinvesting surplus funds, and related items.

* The Interagency Governing Council name was used in the January 2006 audit instead of the Interagency Advisory Council.

1. Compliance with Wraparound Program Requirements

The Board of Supervisors should:

January 2006 Recommendation	Status/Discussion
<p>2.2 Direct the multi-departmental Interagency Governing Council* Wraparound management team to meet regularly such as quarterly for the purpose of overseeing the Wraparound program including setting annual program goals and objectives, determining funding and resource allocations at least once a year as part of the County budget process, establishing operational guidelines, receiving and reviewing regularly produced management reports on program outcomes and cost effectiveness, and making adjustments to program operations when needed.</p>	<p><i>Partially implemented:</i> Interagency Advisory Council records show that it met monthly between March and May, 2006 and has met quarterly since July 2006. The revised County SB 163 Program Plan, approved by the Council in August 2006, establishes the role of the Council and other County stakeholders and includes a statement of program purpose and objectives. However, annual program goals and objectives have not been established by the Council. Program budgets are presented but are not formally adopted by the Council before submission to the Board of Supervisors. Management reports such as quarterly data on program participants are presented regularly to the Council but evaluations of outcomes and cost effectiveness are not being produced for management review. Proposals for use of surplus SB 163 funds have been presented to and discussed by the Council.</p>
<p>2.3 Direct the multi-departmental Interagency Governing Council* Wraparound management team to operate in compliance with State laws governing the Wraparound program.</p>	<p><i>Implemented:</i> The County is operating in compliance with all State mandates pertaining to the Wraparound program. Improvements have been realized since the January 2006 audit in documenting the strengths and participation of families in developing service plans and establishment of a mechanism for assessing participant family satisfaction, although results of this effort to date have been limited. The County has established a mechanism for monitoring accessibility and availability of services to youths residing, or at risk of placement, in group homes licensed at Rate Classification Levels 10-14, as required by State law.</p>

* The Interagency Governing Council name was used in the January 2006 audit instead of the Interagency Advisory Council.

1. Compliance with Wraparound Program Requirements

The Board of Supervisors should:

January 2006 Recommendation	Status/Discussion
<p>2.4 Direct the multi-departmental Interagency Governing Council* Wraparound management team to prepare annual summary evaluations of program and cost effectiveness for their own review and transmission to the Board of Supervisors, to include documentation of: program compliance with State law; the team’s meeting records; achievement of program goals; staff training records; accessibility of the program to the target population; and, program satisfaction by participating families.</p>	<p><i>Not implemented:</i> Annual evaluations of program and cost effectiveness have not been prepared yet but the reconstituted Council has not been functioning for a full year yet. Department of Human Services (DHS) management representatives report that such reports will be prepared and presented to the Council and the Board of Supervisors after the completion of FY 2006-07.</p>
<p>2.5 Direct the inter-departmental Wraparound management team to amend the County Wraparound Plan to include procedures and protocols for admitting and providing services to non-revenue generating children in the program who are not assigned to authorized service allocation slots.</p>	<p><i>Implemented:</i> The County Wraparound Plan has been amended and approved by the Council in August 2006 and was presented to the Board of Supervisors for approval in September 2006. It includes procedures for referral and approval of Program participants with distinct procedures for slotted and non revenue-generating participants.¹</p>
<p>2.6 Direct the Wraparound inter-departmental management team to amend the program plan to include a definition of program “cost savings to be reinvested in children’s services” and to establish procedures for how decisions will be made regarding expenditure of such funds.</p>	<p><i>Implemented:</i> The amended County Wraparound Plan now includes a definition of program cost savings and identifies specific procedures for determining how those funds will be spent.</p>

* The Interagency Governing Council name was used in the January 2006 audit instead of the Interagency Advisory Council.

¹ Non-revenue generating participants are youths participating in the program who are defined as “at risk” of group home placement by the County but either do not meet the State criteria for program participation that generates State revenue or, if they do, are not able to generate revenue because all of the program slots are occupied. Because these youth don’t generate program revenue, their services are limited to what can be provided with surplus funds remaining after the costs of the services provided to revenue generating youth are paid for. This practice is allowed by the State.

1. Compliance with Wraparound Program Requirements

January 2006 Recommendation	<i>Status/Discussion</i>
2.7 Direct appropriate County staff to draft a new Wraparound program Memorandum of Understanding (MOU) for execution by the Departments of Mental Health, Human Services and Probation to replace the MOU among these departments that expired in September 2005.	<i>Implemented:</i> A new MOU was executed between the Departments of Human Services, Mental Health, Probation, Public Health, and the County Office of Education in November 2005.

Improvements have been achieved in the County’s compliance with State and local program requirements. The executive management team required in the County’s Wraparound program plan that was inactive in 2005 has been reconstituted and has assumed responsibility for many key management oversight functions for the Program that were not being performed during the previous audit review period. The current County Wraparound program plan calls for the Interagency Advisory Council to advise on the development of policy pertaining to integrated services, to provide goals and decision making strategy and to monitor outcomes. The Council’s meeting minutes show that it is reviewing key program documents and data and has made decisions on program operations.

The Council has not established annual measurable Wraparound program goals or established methods for monitoring outcomes and effectiveness as recommended in the January 2006 audit. A requirement of the interagency Memorandum of Understanding (MOU), performance monitoring is a key area that should be addressed to ensure program and cost effectiveness.

The Interagency Advisory Council is now receiving reports at its quarterly meetings that present snapshots and profiles for each reporting period about program referrals, participants and exits. Data on “claiming efficiency” (percentage of days when revenue generating program slots were filled²) is also presented to the Council in these reports. While all of this is useful information and an improvement over 2005 when the Interagency Advisory Council was not even meeting regularly let alone receiving program summary information, the data presented does not address the program’s effectiveness at achieving performance goals. The reports do show improvement in claiming efficiency to nearly 100 percent since the previous audit.

² If all of the six program slots are filled every day of the month, the County would achieve 100 percent claiming efficiency and maximize program revenue. For every day that any of the six slots are vacant, revenues are reduced accordingly and “claiming efficiency” drops below 100 percent. Generally, when a child exits one of the revenue-generating slots, another child is referred in by the program Placement Committee. Often, eligible children are already receiving services but in the non-revenue generating slots until a slot becomes vacant.

1. Compliance with Wraparound Program Requirements

The goal of the Wraparound program is to provide alternatives to group home placements for at risk youth through collaborative development of family based service programs using county, private and non-profit service providers.³ Currently, the program's success in meeting this goal is not being measured and reported in a way that allows program managers and the Interagency Advisory Council to assess overall program effectiveness and to make changes where needed if program goals are not being achieved.

Data reported to the Interagency Advisory Council at its meetings held between April 2006 and January 2007 are summarized and presented in Table 1.1. Most of the program participants exiting the program were classified as "graduates". The precise nature of graduation is not defined in the reports. Assumedly this means that their goals were achieved and it was not considered appropriate to continue with program services. To measure program effectiveness, further information needs to be reported about each graduate such as what goals were achieved and how their achievement was measured.

The data in Table 1.1 shows that 25 percent of the participants were placed in group homes after participating in the program. Another 22 percent withdrew from the program by family choice. Altogether, this amounts to 47 percent, or nearly half, of the youths exiting the program. While the explanations for why the youths ended up being placed in group homes may have been beyond the control of Wraparound program staff, this level of post-program group home placement combined with the rate of families choosing to discontinue are factors that should be reviewed by program management to determine if changes are needed in the way services are currently being delivered to reverse these trends. It may be that 43.8 percent is an acceptable rate of graduation given the population served or that a 25 percent group home placement rate is a positive outcome. Such standards should be established and codified by the Interagency Advisory Council based on an analysis of these outcomes and the population being served.

Table 1.1
Reported Wraparound Program Outcomes
April 2006 – January 2007

Outcome	Number	% Total
Graduation	14	43.8%
Placed in GH	8	25.0%
Family choice: discontinue	7	21.9%
Transfer to adult services	1	3.1%
Child in custody	1	3.1%
Runaway	1	3.1%
	32	100.0%

Source: DHS reports to Interagency Advisory Council, April 2006 – January 2007

The Department of Human Services reports that it provides information on individual cases in Interagency Advisory Council and Cross-Systems Operations Team meetings so

³ California Welfare & Institutions Code §18250

1. Compliance with Wraparound Program Requirements

that the members have a broader understanding of outcomes. This type of information should be recorded and incorporated into the official program outcome statistics reported. The Department also reports that it will be conducting an evaluation of the program after the conclusion of FY 2006-07 when it has one year's worth of data. Given the uncertainty of the statistics presented in Table 1.1, some focused evaluation seems appropriate before waiting for year end.

Other performance measures should be established by and regularly reported to the Interagency Advisory Council based on program goals and objectives that should be set by the Council annually. Measures of program effectiveness should include at least the following:

1. Number of group home placements made by the County (to see if trend is declining).
2. Number of other out-of-home placements made by the County.
3. Number of Wraparound program graduations/exits by outcome (e.g., goals achieved [with details on goals and how achievement measured], group home placements, other out-of-home placements, family reunifications, stabilized family situation, families choosing to discontinue services, families asked to discontinue services by County, child taken in to custody)
4. Number of child maltreatment reports for current and past program participants.
5. Number of psychiatric hospital admissions by Wraparound program participants.
6. Number of participating families reporting satisfaction with program and services received.
7. Measures of performance at school such as attendance.

These measures would allow the Interagency Advisory Council to better assess the Wraparound program's overall effectiveness and to assess whether interventions or program changes are needed in terms of staff training, new procedures or other measures to achieve other outcomes.

As noted in the discussion of Recommendations 2.3 and 2.4 in the Status of Recommendations table above, state law calls for counties to assess their Wraparound program participating families' satisfaction with the program as well as the program's overall accessibility to its target population. The Department of Human Services (DHS) has recently developed a Wraparound program family satisfaction questionnaire that, starting in November 2006, it has been distributing to participant families upon exiting the program asking them to assess program services and staff. As of the writing of this report, only nine families have exited the program and returned a completed questionnaire so it is too early to draw any conclusions about overall family satisfaction with the program and services provided. DHS staff report that it is not always easy to get family members to respond to the questionnaires and to provide honest answers or criticisms to the County when they are in the middle of receiving services. The Department will need to continue to request families' responses to these questionnaires

1. Compliance with Wraparound Program Requirements

and, possibly, use other means to obtain their assessments to ensure compliance with the state requirement that family satisfaction with Wraparound be measured.

The County monitors access to the program's target population, as required by state law⁴, through its Placement Committee. DHS staff has expanded their program outreach efforts in the County in recent months by providing presentations to pertinent groups about the program. While these efforts may raise awareness about the program and increase the number of participants, the program needs a working definition and data about its target population of County youth at risk of group home placement, which should include more than just the number of youth currently in group homes. Such information should be used as a baseline to compare to the number of program participants and as a guide for future program outreach efforts to ensure that all segments of the County's at risk youth and their families have access to the program.

A County assessment of the Wraparound program target population should also entail assessing the adequacy of the program's capacity through its current six program service allocation slots. Since the program's inception, the County has had a total of six slots for the program, which generates State revenue for services to six youth who are at risk of group home placement and have Rate Classification Levels (RCLs) of between 10 and 14. Funding is provided for these six slots by the State and County on a formula basis at the same level as would be provided for group home payments for these youth. To the extent the funding provided for these six youths exceeds the actual cost of services provided to them, which so far has always been the case, the remaining funds are used to provide services to other youth at risk of group home placement but whose risk is determined by the County to be not as imminent as those assigned to the six County "slots". This arrangement, allowed by the State, enables the County to provide Wraparound services to more than the six youth in the County's designated slots. In fact, there are more youths participating in the program in non-revenue generating slots than in revenue generating slots. In FY 2006-07 through mid-January 2007, there were a total of eight youths assigned to the six service allocation slots and 29 youths had been assigned to non-revenue generating slots.

While inclusion of youths other than those eligible for the service allocation slots in the Wraparound program is a good example of the County's ability to leverage program funding, it raises the question of the adequacy of the number of County service allocation slots since some of non-revenue generating children actually meet the slot criteria but can't fill a slot until there is a vacancy. Though their situations may be less severe than those of the youth assigned to the service allocation slots, this indicates that there are more at-risk youth in the County than those filling the six slots. By increasing the number of program slots, the County would be eligible for additional funding to use for these and other at-risk youth. It should be noted that any increase in the number of slots would also increase County costs as the County is responsible for 60 percent of the revenue per slot generated by the program; the State pays the other 40 percent.

⁴ California Welfare & Institutions Code §18252(a)

1. Compliance with Wraparound Program Requirements

Not every county in California has implemented a Wraparound program and data is not centrally collected on the number of participants or service allocation slots in each county. However, a review of various documents available from some of the counties with Wraparound programs shows that El Dorado County has a low number of slots relative to the total county population, measured in terms of slots per 100,000 people. Table 1.2 shows the number of slots in selected other counties relative to total population. While there are differences between counties and comparisons always have some limitations, it can be seen that El Dorado County has the lowest number of slots compared to the other six counties and is below the median of slots per 100,000 population.

While some of the other counties are very large and urban, at least two are closer in size to El Dorado County: Santa Cruz and Humboldt and both of those also have more slots per 100,000 people. Differences in size have been accounted for by measuring the number of slots for every 100,000 people in all the counties. The other counties were selected because data was publicly available about the program slots.

Table 1.2
Number of Wraparound Slots
Per 100,000 Population

County	# Slots	2005 Population	Slots/ 100,000
Alameda	150	1,501,303	10.0
Humboldt	15	132,526	11.3
Kern	40	779,869	5.1
San Bernardino	200	1,991,829	10.0
San Mateo	30	724,104	4.1
Santa Cruz	12	262,351	4.6
<i>Median</i>	<i>35</i>	<i>751,987</i>	<i>7.6</i>
El Dorado	6	173,407	3.5

Sources: 2006 population data from California State Association of Counties.

After assessing the County's Wraparound program target population, the County should consider increasing its number of Wraparound program slots. This would provide more program capacity and could make higher service levels available for all of the County's at-risk youth.

The January 2006 audit found that the County Wraparound Program Plan did not address at risk youths who do not generate program revenues ("non-slotted" youth) and did not include eligibility criteria or procedures for how their participation in the program would be determined. The County Wraparound Plan, as revised in August 2006, addresses the non-revenue generating population and processes for their referral to and participation in the Wraparound program. Records were not kept in 2005 about how many non-revenue generating youth were referred to the program and how many were accepted. Such records are now maintained.

2007 Recommendations

The Board of Supervisors should:

- 1.1 Direct the Interagency Advisory Council to immediately establish measurable Wraparound program goals, objectives and outcome measures and methods for regularly monitoring and evaluating those goals and measures including an assessment of the reduction in number of group home placements resulting from the program, to ensure that is operating effectively and cost efficiently and to be reported annually to the Board of Supervisors.
- 1.2 Direct the Interagency Advisory Council to conduct some short-term, focused evaluation as soon as possible requiring staff to report on current program outcomes including an analysis of the 43.8 percent graduation rate through January 2007 and to provide details on graduations and other exits by reason such as group home placements, stabilization of family situation, child arrested, child terminated from dependency, etc.
- 1.3 Direct the Interagency Advisory Council to continue current efforts to measure family satisfaction with the Wraparound program so that these results can be included in annual program evaluation reports, the first of which will be presented to the Board of Supervisors by the Department of Human Services in the first quarter of FY 2007-08.
- 1.4 Direct the Interagency Advisory Council to identify specific characteristics about the Wraparound program target population for internal management purposes and for inclusion in the first annual evaluation report to be prepared for the Board of Supervisors in the first quarter of FY 2007-08.
- 1.5 Direct the Interagency Advisory Council to prepare an analysis for the Board of Supervisors regarding why six Wraparound program service allocation slots are sufficient relative to total need of the program's target population in the County.

2. Status of Wraparound Program Fiscal Management Recommendations

- 2.1 Fiscal management and reporting for the Wraparound program has improved substantially since the January 2006 audit. The Department of Human Services has assumed the fiscal management role for the program and maintains an up to date database of expenditures and revenues and program participants, all of which is reported regularly to the program's Interagency Advisory Council. All six service allocation slots have been close to full for the first half of FY 2006-07 which maximizes state and County revenue available for the program. Budgeted and actual expenditures and revenues for the current fiscal year appear to be more closely aligned than they were in the years reviewed for the January 2006 audit.**
- 2.2 The \$173,244 in unspent program funds identified in the January 2006 audit is still largely unspent. In fact, the amount has increased to approximately \$247,775 due to the collection of subsequent revenues in excess of expenditures and the discovery of approximately \$50,000 in previously unreported revenue by the Department of Mental Health. Though protocols are now in place for determining how these surplus funds will be spent, and most of the funds have been committed for contract services, the rate of expenditure for these services has been slow, with only \$15,467 of the \$247,775 spent. County staff point out that the County contracting process contributes to the time it has taken to expend these funds.**
- 2.3 Most of the planned uses of program surplus funds are for parent/staff trainings and services such as foster parent respite and transitional housing services that could also be provided directly to program participants if, consistent with the Wraparound program approach, that is what participant teams identified as most beneficial to them. But for the most part the program does not provide services to participants other than those offered by the Department of Mental Health and its contractors. The availability of a broader array of services such as tutoring, job training for youth and parents, substance abuse counseling, private mental health clinicians, parent coaching and others should be made know to program participants rather than only services planned and provided by County officials. Program funding is flexible and can also be used for services provided by other County departments, the private sector or community organizations.**

A summary of the findings in the January 2006 audit pertaining to the County's fiscal management of the Wraparound Program are as follows:

2. Wraparound Program Fiscal Management

- State and local funding is provided to the County's Wraparound program based on the number of "service allocation slots" filled by children participating in the program. Between its inception in August 2002 and June 2005, the County authorized six service allocation slots per month but filled an average of only 4.8. As a result, the County did not collect an estimated \$182,484 in available program funding that would have enabled services to an additional 18.7 children.
- In addition to under-recovered available revenue, program expenditures were approximately \$173,244 less than actual funding received during the three fiscal years reviewed. These unspent funds have been carried over each year and are still available for the program, but reflect lower service levels for program participants and unnecessary encumbrance of County General Fund monies during the review period. Combined with the \$182,484 in funds not recovered due to unfilled service allocation slots, the County did not provide \$355,728 worth of Wraparound services that could have been provided during the three fiscal years reviewed.
- During the three years reviewed, actual Wraparound program revenues were \$327,938 less than budgeted revenues and actual program expenditures were \$628,547 less than budgeted. These substantial variances reflect a lack of program planning and oversight by Mental Health and Human Services Department executive management.
- Total reported Department of Mental Health salary and benefits costs for Wraparound were only \$4,775 and \$10,912 the first two years of the program, respectively, but increased to \$304,547 in FY 2004-05. Department of Mental Health staff report that staff time sheet and billing records did not capture all staff time dedicated to the program in its first two fiscal years. If actual staff costs were higher than the amounts charged to program funds, those program costs were covered by other Department funding sources, inappropriately curtailing other services.
- Though encouraged by the Wraparound program concept, only \$9,307, or 1.5 percent of total program expenditures during the three fiscal years reviewed, have been spent on unique goods and services jointly identified by program participants, their families and County staff as being in the best interests of the child. Most of the program funding has been used for traditional County staff-provided services.

2. Wraparound Program Fiscal Management

The status of the January 2006 recommendations pertaining to the County's Wraparound program fiscal management are as follows:

The Board of Supervisors should:

January 2006 Recommendation	Status/Discussion
<p>3.1 Direct the inter-departmental Wraparound management team and Chief Administrative Officer to review the Wraparound program FY 2005-06 revenue and expenditure budget, its assumptions about the number of children to be served, slots to be filled, actual number of "slotted" and non-revenue generating children served and actual revenues and expenditures year-to-date and report back to the Board within six weeks on whether adjustments should be made to make the budget more realistic.</p>	<p><i>Not implemented:</i> The recommendation called for the Wraparound management team and County CAO to prepare an analysis for the Board of Supervisors explaining the differences between FY 2005-06 budgeted and actual revenues and expenditures, which were substantial in the first years of the program. The analysis was to include an assessment of the assumptions used about the number of slotted and non-slotted children in the program. While such an analysis was never delivered to the Board of Supervisors, DHS is now regularly tracking and analyzing data about the number of children being served, program slots filled and the number of non-revenue generating children in the program.</p>
<p>3.2 Direct the inter-departmental Wraparound management team and Chief Administrative Officer to prepare a budget plan each year based on the actual revenues and expenditures for the previous year and documented assumptions about the number of children to be served, both slotted and discretionary non-revenue generating, and the nature of services to be provided in the budget year.</p>	<p><i>Implemented:</i> The FY 2006-07 program revenue and expenditure budget is based on estimates of the number of individual children that will participate in the program, both slotted and non-revenue generating, and the slotted children's reimbursement rates. Actual revenues and expenditures from FY 2005-06 were considered in preparation of the FY 2006-07 budget, including planned expenditures of unspent program funds from previous years.</p>

2. Wraparound Program Fiscal Management

The Board of Supervisors should:

January 2006 Recommendation	Status/Discussion
<p>3.3 Direct the inter-departmental Wraparound management team to at least quarterly monitor actual program revenues and expenditures and number of children served for comparison to the budget.</p>	<p>Implemented: Department of Human Services staff and the Interagency Advisory Council has started monitoring actual program revenues and expenditures and number of children served at its meetings.</p>
<p>3.4 Direct the Chief Administrative Officer to separately present the Wraparound program budget each year in the proposed Department of Mental Health budget document presented to the Board of Supervisors and to include planned and previous year actual numbers of slotted and discretionary non-revenue generating children program participants, hours of staff service provided, contractor service hours and expenditures for unique external goods and services.</p>	<p>Partially implemented: Due to changes in structure, the FY 2006-07 budget for the Wraparound program is presented in the Department of Human Services (DHS) budget rather than the Department of Mental Health budget. The presentation in the DHS budget does not show prior year actual expenditures and revenues or number of participants, hours of staff service provided, or expenditures on unique external goods and services⁵. However, as mentioned above, the budget document does present estimated number of participants for the budget year.</p>

⁵ DHS has pointed out that it couldn't provide a full year's worth of actual expenditures by the time budget submissions are required in the County. Estimated actual could have been used for the current year as is common practice in county budgets.

2. Wraparound Program Fiscal Management

January 2006 Recommendation	Status/Discussion
3.5 Direct the inter-departmental Wraparound management team and Chief Administrative Officer to develop an expenditure plan for the approximately \$173,244 Wraparound program fund balance and transmit the plan to the Board for review.	<i>Partially implemented:</i> The Interagency Advisory Council has established procedures where proposals for use of these funds are first considered by the Cross-System Operations Team, then, if recommended, forwarded to the Council for approval. As of April 2007, the Council had approved \$220,275 in one-time expenditures with these funds. Actual expenditure of these funds was only \$15,467 as of April 2007.

As can be seen in the table summarizing the status of January 2006 audit recommendations pertaining to program fiscal management above, the Department of Human Services has made progress tracking program expenditure, revenue and participant data and regularly reporting it to the Interagency Advisory Council. The number of slotted and non-slotted participants is being monitored and reported and was used to estimate FY 2006-07 program expenditures and revenues. This should result in expenditures more in line with revenues compared to 2005 and service levels more in keeping with resources available.

A final change of note is that the interagency Memorandum of Understanding (MOU) in place at the time of the January 2006 audit called for reinvestment of cost savings in other services for children and families but cost savings were not defined nor was a process for determining how they would be spent. A fund balance of approximately \$173,000 had accumulated at the time due to a low rate of program expenditure and there was no plan in place to utilize those monies.

A process has now been defined for determining how surplus Wraparound program monies should be spent and the Interagency Advisory Council has approved or is considering a number of one-time expenditures using these funds as of the writing of this report. The Interagency Advisory Council made the decision to use the funds for one-time expenditures because the available fund balance is considered a one-time accumulation and the Council did not want to increase ongoing program services to a level that would not be sustainable over time.

Though much of the Wraparound Program fund balance has now been earmarked for expenditure, actual expenditure of nearly all of these funds, which have been accumulating since the January 2006 audit and before, has still not occurred. Further, the fund balance has grown because of additional unspent new revenues accumulated since the audit was issued and the discovery of previously unreported unspent funds by the

2. Wraparound Program Fiscal Management

Department of Mental Health after the audit was completed. Unspent program funds and planned expenditures are presented in Table 2.1.

**Table 2.1
Approved and Proposed one-time Expenditure of Unspent Wraparound Program Funds as of April 2007**

Program	\$ Amount Allocated	Expends	
		as of 04/07	Balance
<i>Approved:</i>			
Foster Parent Respite Care	\$15,000	\$4,162	\$10,838
Celebrating Families ¹	20,000	0	20,000
Maxim Healthcare Services	20,000	5,880	14,120
Incredible Years Program ²	15,575	5,425	10,150
Foster & Wrap Youth Groups	50,000	0	50,000
Transitional Housing Program + ³	70,000	0	70,000
Foster & FostAdopt Home Recruitmt	29,700	0	29,700
<i>Proposed:</i> TBS Training	2,500	0	2,500
Unallocated	25,000	0	25,000
Total	\$247,775	\$15,467	\$232,308

Source: Department of Human Services reports, April 2007

¹This is a training workshop for parents who work with chemically dependent families.

²This is a training workshop for parents who work with aggressive children.

³ This is a service to assist youth exiting foster care or group home placement that provides housing assistance and instruction on independent living skills.

As shown in Table 2.1, the surplus funds have been allocated to organizations and not to individual Wraparound program participants though the organizations and services funded may indirectly benefit the participants through services such as parent and staff training, respite care for foster parents, health care services, transitional housing and others. While it is true that the fund balance money is one time in nature, some or all of these funds could still be used for individual participants. It is not necessary for the program to sustain the same level of expenditure per child at all times. In fact, variation in expenditure levels should be expected as the needs and plans for participants are supposed to be customized and not based on a formula.

Another issue of concern regarding the unspent monies is that they have remained unspent since at least 2005, when the first audit field work was conducted although Department of Mental Health and Human Services staff were aware of the availability of this money prior to that. While some of the intervening time was spent developing protocols to determine how decisions should be made to expend the funds, several months have passed since many of the appropriations have been approved and very little of the money has actually been spent. The Department of Human Services has pointed out that there is often a lag between contractor services provided and payment for these services and that the County's contracting process can be time consuming.

2. Wraparound Program Fiscal Management

While it is commendable that the Interagency Advisory Council took time to establish protocols for systematically deciding how the expenditure of surplus program funds would be used, the Council and program managers need to create timetables and management controls to ensure that these expenditures are timely and responsive to need. For example, the need for parent training or coaching services could have been identified as a need when the Interagency Advisory Council first reconvened in the spring of 2006 as a service to begin funding immediately with the surplus funds.

A review of DHS records shows that most of the services provided to Wraparound participants are mental health services provided by either Department of Mental Health staff or their contractors. While mental health services are a key component of services to be provided to at risk youth, the fact that they represent the preponderance of services provided raises the question of the extent to which participant families and teams are aware of or are being encouraged to request services that will best meet their needs, even if not provided by traditional government service providers and their contractors.

Wraparound programs in some other jurisdictions provide mental health services as well as other social services that are identified as most needed by the participants and their families and support teams. These services can include parent coaching, foster family care, job training, tutors/mentors, respite care and case management services as well as non-traditional assistance in the form of assistance with basic expenses and payment for extra-curricular activities such as lessons and activities. Paying for these type of services with Wraparound funds is allowable under state law.

Since the Wraparound program approach is supposed to be flexible and community-based, services can be provided by County staff or individuals or organizations from the community. Most of the services paid for with County Wraparound funds are Department of Mental Health therapy, psychiatric medical services and therapeutic behavioral services provided by Department staff or Department contractors. The Department of Mental Health does provide non-clinical services through its Mental Health Workers who provide in-home assistance to families with basic living skills and needs. An advantage of using the Department of Mental Health and its contractors for services is that most of their costs are reimbursed by Medi-Cal. If private providers who don't accept Medi-Cal were used, more program funds would be spent on fewer children.

The Wraparound Program's expenditure trend has begun to change as of FY 2006-07 with DHS taking greater control of Wraparound program management. This is demonstrated by DHS' hiring of a Parent Partner position who provides various support and advocacy non-clinical services as needed to many of the Wraparound program participant families. Payment for this position is being made out of the Wraparound program budget with funds that were previously allocated to Department of Mental Health staff services. Recently, authorization was provided to one of the Department of Mental Health's contractors to hire a second Parent Partner.

Customized strengths-based family plans are supposed to be the basis for Wraparound program services with program participants, their families and support teams determining

2. Wraparound Program Fiscal Management

what services and supports will best meet their needs, rather than this determination being made by the County's professional staff. The January 2006 program audit found that such family team based plans were not being prepared. A Wraparound planning document that explains the program and process is now in place and a protocol has been established where structured team goal setting and planning occur upon program entry and is recorded in the program planning document. As part of the program's initial team goal setting and planning processes, the facilitators reportedly communicate to the families examples of the wide variety of services and funding available. To ensure that this information is communicated consistently and families understand these possibilities, the same information should be available in print.

To demonstrate program funding possibilities, for every slotted participant, funding is available up to the amount that it would otherwise cost the State and County to place that child in a group home. This amount ranges from \$5,094 to \$5,994 per month. However, the average net cost of services provided, to slotted children in FY 2005-06 was \$622 per month after Medi-Cal reimbursement⁶. Clearly there is sufficient funding for the slotted participants to receive higher levels of service if appropriate. Of course, surplus revenues are being used for other non-revenue generating children. However, the program is designed to first meet the needs of the children who qualify for program services in accordance with the original Wraparound program guidelines: youth at risk of group home placement with an RCL of between 10 and 14. If additional services to which they are entitled are needed and this takes resources away from other non-revenue generating participants, the County may need to consider increasing the total number of program slots.

In addition to direct service provision, Wraparound funds can also be used to pay for basic supports such as food, transportation, utilities and other necessities or for non-traditional services such as athletic team fees, lessons or other specialized services if that is what is needed to help the program participants and their families achieve their program goals. The January 2006 audit found that only \$9,307, or 1.5 percent of total program expenditures during the three fiscal years reviewed, had been used for this purpose. The FY 2006-07 Wraparound program budget shows that the total amount appropriated for such services has been increased, to \$7,500 for the year, or 2.2 percent of the \$345,521 in net expenditures budgeted for the year for the program.

While the County understandably does not want to establish a program that encourages family dependence in meeting basic needs, it should also make clear to participating families that these funds are available and can be used for non-traditional services if that will help stabilize the family and increase the likelihood of achieving the family's goals and keeping their youth from being placed in a group home. In the same way that the availability of different services and service providers should be communicated in writing to families participating in Wraparound, the availability of funds potentially available to

⁶ It should be noted that Medi-Cal reimbursement is usually 90 percent of the costs of Mental Health services so the average value of services actually provided is much greater than \$622 per month.

help achieve the family's goals should also be communicated in writing and not just orally at family and team meetings.

2007 Recommendations

The Board of Supervisors should:

- 2.1 Direct the Interagency Advisory Council to consider using a portion of the surplus program funds available to enhance or replace direct services provided to participants by the Department of Mental Health and their contractors and to report back to the Board of Supervisors a timetable regarding planned expenditure of the surplus funds to ensure that services are provided within the next six months in a way that is most beneficial to youth at risk of group home placement as a first priority, and, second, to children's services in general.
- 2.2 To ensure that Wraparound program parameters are clearly communicated to participants, their families and teams, direct the Interagency Advisory Council to include information in the "Family Guide to Wraparound Care in El Dorado County" document that funding is available for emergency support of necessities and for non-County services such as private clinician services, private lessons and fees for clubs and extracurricular programs, if determined to be in the best interests of the child.

3. Status of Wraparound Program Records Recommendations

- 3.1 Accurate staff time records were not in place for a number of the Wraparound program years reviewed for the January 2006 audit, resulting in charges to the program funds that were lower than actual costs. There were no records kept on the basis for which non-revenue generating children were admitted to the program. These records are now being maintained by the Departments of Mental Health and Human Services.**
- 3.2 The January 2006 audit found that youth participating in the program were not always receiving the clinical mental health services specified in their plans and it was recommended that Wraparound program managers identify program capacity each year to enable the development of realistic service plans. These comparisons are no longer possible as the Department of Mental Health has discontinued specifying hours of services to be provided in their mental health service plans, making it difficult for program managers to determine staff utilization and to assess if more children can be accepted in to the program.**
- 3.3 The range of services and funding available to children and families participating in the program are not publicly documented. Since a key tenet of the Wraparound approach is for participant teams to determine the services that best meet their needs, written information should be provided to participants in addition to oral representations at team meetings to document the flexibility in types of services and funding that can be made available.**

A summary of the findings in the January 2006 audit pertaining to the County's Wraparound Program record keeping are as follows:

- ❑ Claims for State Wraparound funding are filed by the Department of Human Services each month as part of its larger claim for Foster Care funding. A review of Department records showed that there is sufficient supporting documentation for the Wraparound program claims filed between FY 2002-03 and 2004-05.
- ❑ The Department of Mental Health's Wraparound program accounting, timesheet and other records do not provide sufficient information to determine if program funding has been properly accounted for since the program's inception. A new record-keeping system implemented in February 2005 has improved this situation but since it was not in place for the first two and a half years of the program, it is not possible to accurately determine actual program costs during that time or the source of funding for all services provided.

3. Wraparound Program Records

- ❑ A review of Department of Mental Health time sheets and contractor billings for four randomly selected months showed that actual staff hours and costs were higher than recorded in the Department’s financial records. Time and cost records were not compiled or reviewed by program managers prior to February 2005 to ensure that program funding was appropriately used and accounted for.
- ❑ Program records are maintained reporting the number of children assigned to service allocation slots but there is no documentation of the number of children considered for Wraparound service allocation slots who were not accepted in to the program. There is no documentation at all of the number of other at risk children considered for and accepted in to the program who are not assigned to service allocation slots. Such information should be recorded to document that all children in the program meet the eligibility criteria and to determine if adjustments are needed to the number of service allocation slots authorized by the County.
- ❑ A review of treatment plans and time sheets for four randomly selected months showed variances between services planned for children in the program and what was actually delivered. While there may be valid reasons to divert from original treatment plans as a child’s situation changes, a comparison of planned to actual staff and contractor hours and services should be regularly prepared to ensure that program resources are being allocated effectively.

The status of the January 2006 recommendations pertaining to the County’s Wraparound program record keeping are as follows:

The Board of Supervisors should:

January 2006 Recommendation	Status/Discussion
4.1 Direct the inter-departmental Wraparound management team to include in its annual program evaluation provided to the Board of Supervisors: statistics on the number of children referred to and considered for the program; the number and backgrounds of those admitted to the program and assigned to service allocation slots; and, the number and backgrounds of those receiving services with Wraparound funding but not assigned to service allocation slots.	<i>Partially implemented:</i> An annual Wraparound program evaluation provided to the Board of Supervisors has not been prepared containing the recommended information but the first such report is scheduled for the first quarter of FY 2007-08. However, DHS is collecting this data and is reporting it regularly to the Interagency Advisory Council.
4.2 Direct the inter-departmental Wraparound management team to prepare written procedures regarding eligibility and services offered to children receiving services with Wraparound funding but not assigned to service allocation slots.	<i>Implemented:</i> The County’s amended Wraparound Plan does not distinguish eligibility criteria and services available between children receiving services with Wraparound funding but not assigned to service allocation slots and those assigned to slots.

January 2006 Recommendation	Status/Discussion
<p>4.3 Direct the inter-departmental Wraparound management team to prepare annual estimates of staff and contractor availability for the program and to use this as a baseline when service plans are prepared to ensure that there is greater consistency between service plans and service provider availability.</p>	<p>Not implemented: The Interagency Advisory Council has not initiated a process where annual estimates of staff and contractor availability for the program is estimated and used in developing individual participant service plans. Unlike service plans prepared in 2005, the Department of Mental Health no longer specifies hours of service to be provided to individual clients but instead includes more general statements such as “provide mental health services to client”. As a result, there is no longer a basis for comparing staff capacity and planned services.</p>

One of the key issues of the January 2006 audit report was that the Department of Mental Health did not have accurate records of staff time spent providing services to Wraparound program participants. As a result, it was not possible to tell if program funding was being properly expended. Subsequent analyses revealed that the program funds were not being properly charged for all Department of Mental Health staff time allocated to the program. Since then, this situation has been corrected and the Department of Mental Health and its contractors now keep separate staff time records for Wraparound program participants that are provided to the Department of Human Services with their monthly program invoice. The records show the name of the employee, the name of the program participant and the type and duration of services provided. These invoices tie back to time records maintained in individual case files.

The January 2006 audit report found that Wraparound program administrators were not keeping records of the children referred to the program for non-revenue generating slots. Without such records, it was not possible to verify that these participants were eligible for the program and that those that were referred but not accepted had in fact not met the program criteria. DHS now keeps records of the outcomes of all youths referred to the program including whether they: end up in a service allocation slot, are classified as non-revenue generating or are not accepted in to the program. Records are maintained by DHS on each child’s referring agency, Rate Classification Level, or group home rating indicating the intensity of the level of services provided, current living situation and basic identifiers such as age and date of birth. Referral outcome information is recorded for each child and summary reports are presented at each Interagency Advisory Council meeting regarding the outcomes of all program referrals considered by the Cross Systems Operations Team.

Recommendation 4.2 from the January 2006 audit included a provision that Wraparound program managers should prepare written procedures regarding eligibility and services offered to children receiving services with Wraparound funding but not assigned to service allocation slots. Eligibility criteria and services for these participants is now included in the Wraparound program plan document since there is no distinction made between the two groups according to representatives of the Department of Human Services.

What is still needed for participants, whether revenue generating or not, and their family teams is a documented list of services, or examples of services, and service providers available to families participating in the program. As discussed in the previous section, most services now provided to participants, whether in service allocation slots or not, are provided by the Department of Mental Health and its contractors. While these are undoubtedly very valuable services and should be continued as a key part of the program, one of the tenets of the Wraparound program is that the participants and their family teams should be determining the services that will best meet their needs and help them achieve their goals.

The Wraparound program tenets should be codified and communicated to participating families in official written program documents such as the County's new "Family Guide to Wraparound Care in El Dorado County" and examples should be provided of services that could potentially be made available to make it clear that the participants do not have to rely entirely on services provided by the Department of Mental Health or other County departments only. The document currently describes how family needs should be identified in the Wraparound planning process. What could be more clear is that those services or needs can be addressed by County service providers or others and that the decision about how the services are provided is up to the family teams.

Recommendation 4.3 in the January 2006 audit called for Wraparound program staff to prepare annual estimates of Department of Mental Health staff availability so that realistic service plans could be prepared consistent with actual staff availability. This recommendation stemmed from the finding that there were inconsistencies between service plans and actual Department of Mental Health services delivered. Since the audit was issued, the Department of Mental Health has expanded its service providing capacity by increasing the number of contractors used to provide mental health services. It has also discontinued the practice of specifying a certain number of hours of service in individual participant service plans. Instead, the plan documents now include more general provisions such as, "mental health services to be provided". This makes it impossible to compare service plans to actual services provided.

The problem with the Department of Mental Health no longer having specific service plans is that it makes it difficult to compare capacity to need and to estimate the total number of children who can be accommodated by the program. In addition, though it may be communicated orally, the absence of a written plan for mental health services

leaves the family without documentation regarding the level of clinical service they will be receiving.

Department of Human Services (DHS) management is monitoring program participation and capacity and has concluded, based on average length of stay in the program and the average level of services provided, that the program can accommodate approximately 35 participants (slotted and non-slotted) at any one time given current funding levels and service capacity. Given the increased availability of contractors for mental health services and the potential for more use of community-based service providers, it may be possible to provide Wraparound services to a greater number of participants or to provide a richer level of services to existing participants.

DHS should determine program capacity based in part on the availability of Department of Mental Health, their contractors, other County departments and other community-based service providers. While the needs of each child participating in the Wraparound program will vary, assumptions can be made, and adjusted, using the average hours of services provided in the past.

The results of this capacity analysis should be compared to the assessment of the program's target population, recommended in the previous section of this report, and used together to plan for the program's future based on how well program capacity and the target population are aligned. Such an exercise will have additional benefits by helping the County prepare for funding it should be receiving from the State Mental Health Services Oversight and Accountability Commission (Proposition 63 funding) that requires use of the Wraparound program approach for enhanced services.

2007 Recommendations

The Board of Supervisors should:

- 3.1 Direct the Department of Human Services to modify its "Family Guide to Wraparound Care in El Dorado County" and other Wraparound program literature to make clear the wide variety of services available to participants and their families and that it is the family team's choice, not that of County officials, about who provides needed services.
- 3.2 Direct the Department of Human Services to prepare a Wraparound program capacity analysis to estimate the level of Wraparound services that can be provided through the program through County, contractor and community-based services providers.
- 3.3 Direct the Department of Human Services to combine the capacity analysis with the recommended target population analysis to determine if there is a need and opportunity to expand the program to ensure that services are available for and accessible to all County youth at risk of group home placement.

EL DORADO COUNTY GRAND JURY 2006-2007

El Dorado County Information Technologies

GJ 06-050

May 2007

SUMMARY

The Grand Jury decided to review the El Dorado County Information Technologies (IT) Department to determine their efficiency and effectiveness in meeting the County's IT strategic goals. The Grand Jury's review shows that El Dorado County has a growing population, an aging IT infrastructure and software programs that are incompatible.

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Reason for the Report

The County's information technology system is not capable of meeting the current and future technological needs of the County and its citizens.

Background

El Dorado County Information Technology Mission Statement:

The Commitment of the Information Technology Department's staff is to deliver creative, practical solutions and services in support of the current and future technological needs of El Dorado County.

The IT Department operates, maintains, supports and develops the County's applications, mainframe computers, desktop computers, customer assistance and networks to meet County business goals and objectives. The El Dorado County's population growth increased by 13.1% from 2000 to 2005. Projected growth is 10% over the next five (5) years and will continue to place additional burdens on the County's antiquated IT systems. The IT Department is presently in a maintenance mode, not a growth mode. To efficiently and effectively service the County, the IT Department's goal is to advance the concept of Enterprise Resource Planning (ERP), which includes upgrading infrastructure and replacing aging systems. The goal of ERP is to integrate data and processes into a unified system. The benefits of ERP include standardization of data, lower maintenance costs and greater consistent reporting capabilities.

The following issues are impacting the County's aging technology systems.

- Older systems, software and hardware do not provide the flexibility and capability of newer systems.
- Hardware and software companies abandon support of older systems to focus on newer technology.

- The talent pool of IT technical resources is driven to stay current and learn the latest technologies. Few IT technicians have any interest in learning old obsolete programming used in limited IT applications.
- Departments need IT applications that allow them to easily enter and store data, extract information, have a secure system and network, have secure data, share information and control read/write access.
- Departments implement specific software applications to solve a specific issue. This creates:
 - islands of automation that do not interface with other IT systems
 - a unique requirement to backup and save data
 - a need for unique IT skills to train and assist the user.

New state and federal reporting requirements mandate that El Dorado County share information electronically across agencies, departments, states and local governments. Improving the collection, use and dissemination of government information requires short and long term planning and implementation. The rapid evolution of IT and the County's growing population creates challenges in managing and preserving electronic data. Advances in IT and the Internet are continuing to change the way the County communicates, uses and disseminates information, delivers services and conducts business.

The County faces serious challenges in effectively planning for updating and managing their IT resources. These challenges can be overcome with a strategic plan that includes a comprehensive implementation and funding program.

Scope of Investigation

Members of the 2006-2007 Grand Jury met with El Dorado County employees, elected officials, management and private industry professionals.

People Interviewed:

- El Dorado County, IT Director and Assistant Director
- El Dorado County, Auditor/Controller
- El Dorado County, Tax Collector
- El Dorado County, Departmental IT liaisons
- El Dorado County, Sheriff
- El Dorado County, District Attorney's Office, employee
- El Dorado County, Information Technology, former employee
- El Dorado County Superior Court, Information Technology Manager
- Information Technology, private industry manager
- Information Technology, private consultants

Documents Reviewed:

- *Information Technologies Strategic Plan*
- *Information Technologies Policy and Procedures*
- *Information Technologies Charter*

- County Information Technology Internet and Intranet Web sites
- *Information Technologies Customer Service Assessment Questionnaire*
- El Dorado County Grand Jury Report 2003-2004, Information Technology
- *Information Technologies Steering Committee and Acquisition Procedures*
- *Information Technologies Project Survey*
- Property and Human Resources, Payroll Maintenance and Project Logs
- Information Technologies Organizational Charts
- *Information Technologies, Budget Document 2006-2007*
- United States Census Bureau Web site population data

1. Fact:

Computer hardware and software applications become obsolete and the ability to access the data is compromised.

1. Finding:

There are nine (9) antiquated mainframe systems representing eighty percent (80%) of the County IT systems. The County's IT Department is operating in maintenance mode with the majority of staff time spent on meeting current system needs. Adequate funding has not been provided by the County to upgrade infrastructure, modernize and/or replace aging systems. There are four (4) major projects identified for replacement:

- Financial Systems:
 - Purchasing System (AD PIC)
 - Budgeting System (B Prep)
 - Financial Accounting System (FAMIS)
- Human Resources/Payroll System
- Property Tax System
- Land Management Information System (LMIS).

1. Recommendation:

Contract with an independent professional IT consultant to evaluate the County's Information Technologies Strategic Plan and establish an ERP that meets the current and future business needs of the County. The consultant's Statement of Work shall include:

- evaluating and reporting on the County's ERP efforts
- assessing the efficiency of County IT Systems
- identifying the risks of continuing to operate in maintenance mode with current infrastructure and aging applications
- addressing IT budgetary challenges.

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El Dorado County Juvenile Treatment Center, South Lake Tahoe

COMMENDATION REPORT

GJ06-053

May 2007

The Grand Jury reviewed the South Lake Tahoe Juvenile Treatment Center on May 15, 2007 in accordance with Penal Code Section §919(b). The Deputy Chief Probation Officer was cooperative, informative and showed pride in the program and facility. Even though the facility is understaffed, due to inability to compete with local businesses for employees, the program is well managed. This facility was constructed and occupied less than three years ago and is not yet subject to the maintenance problems common in older buildings. The grounds are low maintenance and take advantage of the natural setting.

Administration and Programs Administrative space is generous and furnishings functional. Security is centralized in one area with two staff members who monitor all areas of the facility. There are cameras throughout the building. The programs include two different focuses. Needs dictate which program a new resident follows.

Treatment and Rehabilitation This is a six-month intensive program with individually designed services. This group tends to be younger and has the potential to rejoin their community and school.

Transitional and Custodial The focus of this program is adjustment, vocational options, personal decisions and responsibility within society.

Services: Physical and Mental Health, Kitchen, Education and Residence Services are available to all residents:

1. Contracted independent professionals and County mental health staff provide physical and mental health services.
2. The kitchen is the shining star in this facility. Staff and residents alike praise the chef for “above and beyond” success in providing meals that offer both nutrition and nurture.
3. The El Dorado County Office of Education is responsible for the school program. There are two teachers and two classrooms. One principal is shared between Placerville and South Lake Tahoe. Individual assignments are used because of the different ages and needs of the youth.
4. Residence. Most of the waking day involves activities outside the locked sleeping rooms. The living areas and showers were uncluttered and very clean.

This Grand Jury commends the staff of this Juvenile Treatment Center for their caring and spirit in rehabilitating youth. Effectiveness of the programs is now difficult to determine. This will soon be corrected by new software designed specifically for this facility. The software will provide professional state-of-the-art ways to manage data needed to measure the effectiveness of these programs.

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EL DORADO COUNTY GRAND JURY 2006-2007

El Dorado County Jail, South Lake Tahoe

COMMENDATION REPORT

GJ 06-054

May 2007

On Tuesday, May 15, 2007 the Grand Jury visited the El Dorado County Jail, South Lake Tahoe, in compliance with Penal Code §919(b). The visit included housing units, kitchen, medical station, exercise area and classrooms. The facility was originally constructed in the 1970's and has had six remodels including an expansion.

The general living area is neat and clean. Seating and tables were clean and well maintained. Cells were tidy and kept in compliance with jail policy.

Although limited due to the age of the facility, the condition of isolation, medical, behavioral and protective spaces are maintained as well as possible.

Supervised inmates assist in food preparation and general facility maintenance. They appear to appreciate the opportunity to break the monotony of incarceration.

The kitchen staff takes great pride in providing excellent meals at a very reasonable cost.

Preventive maintenance is completed on a regular basis helping to reduce the need for continual emergency repairs.

Emergency evacuation plans are in place and regularly scheduled training is conducted and documented.

The inmate education program is appropriate. Emphasis is on attainment of a GED.

The attitude of the administration and officer staff demonstrates compassion and forward thinking. Planning for facility and procedural improvements is an ongoing process.

The El Dorado County Jail, South Lake Tahoe staff is to be commended for their dedication to providing a safe and secure custodial area for inmates. The age of the facility and limited funding present challenges that are overcome by enthusiasm and commitment.

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EL DORADO COUNTY CHARTER AMENDMENT
GJ 06-019
September 13, 2006

Reason for the Report

The Grand Jury observed, through media sources and communications with El Dorado County personnel, the difficulties in determining when a Board of Supervisor's vacancy occurs and the inefficiencies encountered in filling a vacancy. The Grand Jury believes that the El Dorado County Charter needs to be amended to impose an additional standard that supplements California Government Code, Title I, Division 4, Chapter 4, Article 2, Section 1770 (g) that defines when a Board of Supervisor's vacancy exists. In addition, the Grand Jury recommends that the El Dorado County Charter be amended to incorporate a more efficient and expedient replacement of a Supervisor when the vacancy occurs during the last year of a term.

Scope of Investigation

Members of the 2006-2007 Grand Jury met with several El Dorado County employees and members of the Board of Supervisors.

People Interviewed:

- El Dorado County Chief Administrative Officer
- Assistant Registrar, El Dorado County Registrar of Voters
- Systems Coordinator, El Dorado County Registrar of Voters
- Supervisor District I, El Dorado County
- Supervisor District II, El Dorado County
- Supervisor District III, El Dorado County
- Supervisor District V, El Dorado County
- El Dorado County Counsel

Documents Reviewed:

- California Charter Counties (Appendix I)
 - Alameda
 - Butte
 - El Dorado
 - Fresno
 - Los Angeles
 - Orange
 - Placer
 - Sacramento
 - San Bernardino
 - San Diego
 - San Francisco

San Mateo
Santa Clara

- California Government Code (Appendix II)
Title I, Division 4, Chapter 4, Article 2, Section 1770

Background

The current El Dorado County Charter, ratified 8 November 1994 and amended 4 November 2004 specifies:

Section 203. Filling of Vacancies.

Whenever a vacancy occurs in the office of supervisor, the unexpired term shall be filled by election. If the vacancy occurs more than 90 days but less than 120 days before a scheduled primary, general, or special election, involving the district in which the vacancy has occurred, then the election to fill the vacancy shall be consolidated with the scheduled election. If the vacancy occurs more than 120 or less than 90 days before a scheduled primary, general, or special election involving the district in which the vacancy has occurred, then the vacancy shall be filled at a special election called by the Board of Supervisors to take place not less than 90 nor more than 120 days after the vacancy occurs. The special election shall be conducted in accord with the provisions of general state law regarding special elections. The candidate with the highest number of votes shall be elected to fill the unexpired term.

[Amended by Charter Amendment ratified November 4, 2004, effective December 14, 2004, Stats. 2004, ch. 16].

Within Section 203 of the El Dorado County Charter, a vacancy is currently defined in the California Government Code, Section 1770 (g).

His or her ceasing to discharge the duties of his or her office for the period of three consecutive months, except when prevented by sickness, or when absent from the state with the permission required by law.

Facts:

1. Vacancies on the Board of Supervisors / Pre-Charter (prior to 27 December 1994):
 - 1988-89 Resignation, replaced by Governor Appointment.
 - May 1990 Resignation, replaced by Special Election.
2. Vacancies on the Board of Supervisors / Post-Charter (effective 27 December 1994):
 - April 2003 Death in Office, replaced in Special Election.
 - July 2005 Resignation, replaced in Special Election.
 - July 2006 Vacated involuntarily {California Government Code, Section 1770(g)}, replacement by General Election.

3. Cost of Special Election

- The El Dorado County total cost for the July 2003 Special Election was \$43,068.28.

4. The Election Process

- The California Election Code Book is followed with the steps in a special election as follows:
 - a. The Board of Supervisors calls a special election, by passing a resolution and sending it to the Elections Department.
 - b. The Elections Department publishes that a position is open and the filing period which usually is 118 days to 88 days before the election.

5. A Special Charter Commission can be convened at anytime by the Board of Supervisors.

Findings/Recommendations:

1F. Finding: In the current El Dorado County Charter, Section 203, the word ‘vacancy’ is defined by the California Government Code. The Office of Supervisor becomes vacant because of death, resignation, recall, permanent disability or the inability of the respective officer to otherwise carry out the duties of the office. A supervisor’s failure to discharge duties represents a fiduciary breach to the citizens of El Dorado County. Recently, a Supervisor ceased to discharge the duties of office, making the office involuntarily vacant after three consecutive months under California Government Code, Section 1770 (g). The El Dorado County Charter does not include an additional standard for a shorter time limitation on the failure to discharge duties in office.

1R. Recommendation: Amend Section 203 of the El Dorado County Charter to include its own criteria, which goes beyond California Government Code, Section 1770 (g), in defining standards on when a vacancy occurs for failure to discharge duties of the office.

2F. Finding: In the current El Dorado County Charter Section 203, the process for filling a vacancy at any time within the supervisor’s term requires a special election, unless occurring within a window of 120 days to 90 days of a scheduled election. This requirement is inefficient for a vacancy which occurs in the last year of a supervisor’s term. This inefficiency imposes cost due to required multiple elections within a year’s period. This requirement also creates an associated inefficiency in the political process by confronting potential special election candidates to make a trade off of campaign cost versus a few months in office for the effort.

2R. Recommendation: Amend Section 203 of El Dorado County Charter to provide a different method, rather than a special election, by which a supervisor vacancy can be filled within the last year of a supervisor’s term.

A response is required by the Board of Supervisors within ninety (90) days.

Appendix I

California County Charter Approaches to Vacancies

Alameda

Sec. 8: Whenever a vacancy occurs on the Board of Supervisors, the Board of Supervisors shall fill the vacancy, provided that, if it shall fail to fill the vacancy within 60 days following its occurrence, the Governor shall fill the vacancy. The appointee shall hold office until the election and qualification of his/her successor. In such case there shall be elected at the next general election a supervisor to fill such vacancy for the unexpired term, unless such term expires on the first Monday after the first day of January succeeding said election.

(Amendment ratified June 3, 1986. In effect August 22, 1986.)

Butte

Art. II, § 7 Vacancies.

Whenever a vacancy occurs in the board of supervisors, the governor shall fill such vacancy by appointment, and the appointee shall hold office until the election and qualification of his successor. Such election shall take place at the next general election at which county officers are elected. The person elected shall hold office for the remainder of the unexpired term.

El Dorado

202. Term of Offices.

The term of office of supervisor is four years. Board members shall be limited to two consecutive terms. No person elected supervisor may serve as such for more than two successive four year terms. Any person elected to the office of supervisor to complete in excess of two years of a four year term shall be deemed, for the purpose of this section, to have served one full term upon the expiration of that term. No person having served two successive four year terms may serve as a supervisor until at least four years after the expiration of the second successive term in office. Any supervisor who resigns with less than two full years remaining until the expiration of the term shall be deemed, for the purpose of this section, to have served a full four year term.

The above shall not disqualify any person from running for election to the Board of Supervisors for any term or terms which are not successive. The term of office commences at noon on the first Monday after the January 1st succeeding their election.

The supervisor for each of the First, Second and Third Districts shall be elected in 1996. The supervisor for each of the Fourth and Fifth Districts shall be elected in 1994.

[Amended by Charter Amendment ratified November 8, 1994, effective December 27, 1994; Stats. 1994, ch. 18]

Amended by Charter Amendment ratified November 4, 2004, effective December 14, 2004, Stats. 2004, ch.16]

203. Filling of Vacancies.

Whenever a vacancy occurs in the office of supervisor, the unexpired term shall be filled by election. If the vacancy occurs more than 90 days but less than 120 days before a scheduled primary, general, or special election, involving the district in which the vacancy has occurred, then the election to fill the vacancy shall be consolidated with the scheduled election. If the vacancy occurs more than 120 or less than 90 days before a scheduled primary, general, or special election involving the district in which the vacancy has occurred, then the vacancy shall

be filled at a special election called by the Board of Supervisors to take place not less than 90 nor more than 120 days after the vacancy occurs. The special election shall be conducted in accord with the provisions of general state law regarding special elections. The candidate with the highest number of votes shall be elected to fill the unexpired term.

[Amended by Charter Amendment ratified November 4, 2004, effective December 14, 2004, Stats. 2004, ch. 16]

Fresno

SECTION 8. Whenever a vacancy occurs in the Board of Supervisors, it shall be filled as follows:

(a) In the event such vacancy occurs in the final year of a term, it may be filled by the unanimous vote of the remaining members, provided there are at least three remaining members, and if they fail for a period for twenty-nine (29) days following the occurrence of such vacancy to make such an appointment, the Governor shall fill the vacancy.

(b) In the event such vacancy occurs other than in the final year of a term, the Board of Supervisors shall, without delay, call a special election to fill such vacancy to be held not less than seventy-five nor more than ninety days after the call, provided, however, if an election date as provided in Section 2504 of the Elections Code or similar state law falls not less than seventy-five nor more than one hundred twenty days after the call, such special election shall be consolidated with such election.

The person appointed or elected to fill such vacancy shall serve for the remaining unexpired term and until the election and qualification of his successor. A person appointed or elected must be a qualified elector of the district in which the vacancy occurs, must have been a resident of the territory therein for at least thirty (30) days immediately preceding the appointment, or immediately preceding the date of filing nominating papers or equivalent declaration of candidacy for the election for which he is a candidate, and must reside therein during his incumbency. (Amended November 3, 1992).

SECTION 8.5. In the event an election is held pursuant to Section 8 of this Charter to fill a vacancy in the Board of Supervisors and at such election no candidate receives a majority of all the votes cast and not less than eighteen months remains of said term of office from the date of the creation of such vacancy, a runoff election between the two candidates who have received the most votes shall be had as soon as may be legal and practical. (Amended June 8, 1976).

Los Angeles

Section 4. No person shall be elected and qualified for the office of member of the Board of Supervisors if such person has been elected or served in such office for three consecutive terms, commencing with a term of office which begins in December, 2002. The limitation on terms shall not apply to any unexpired term to which a person is elected or appointed if the remainder of the terms is less than one-half of the full term of office.⁹

Section 8. Whenever a vacancy occurs in the Board of Supervisors the Governor shall fill such vacancy, and the appointee shall hold office until the election and qualification of his successor. In such case, a Supervisor shall be elected at the next general election, to fill the vacancy for the unexpired term, unless such term expires on the first Monday in December succeeding said election.

Orange

103. Filling of Vacancies.

Notwithstanding any other provision of law, whenever a vacancy occurs in the office of supervisor, the vacancy shall be filled as follows:

A. If the vacancy occurs in the first 1095 days of the term of office, the vacancy shall be filled by a vote of the electors of that district at a special election to be called by the Board of Supervisors not less than 56 days nor more than 70 days after the vacancy occurs. If the vacancy occurs within 180 days of a regularly scheduled election held throughout the supervisorial district, the election to fill the vacancy may be consolidated with that regularly scheduled election.

The person receiving the highest number of votes in that election shall fill the vacancy.

B. If the vacancy occurs within the final year of the term, the vacancy shall be filled by the person receiving the highest number of votes for Supervisor in that district in the March primary election that year. If that person for any reason does not assume the office for the remainder of the term, the Board of Supervisors is hereby authorized to appoint a person to fill the vacancy. If the Board of Supervisors does not make such an appointment within 30 days following the certification of the March primary election results or following the failure of that person to assume the office, whichever comes later, the Board of Supervisors shall call a special election to be held not less than 56 nor more than 70 days thereafter to fill the vacancy. The person receiving the highest number of votes in that special election shall fill the vacancy.

Placer

Sec. 206 Vacancies.

If a vacancy occurs on the Board of Supervisors, it shall be filled by the unanimous vote of the remaining members, and if they shall fail to make such appointment within thirty (30) days of the occurrence of any such vacancy, then such vacancy shall be filled by the Governor; provided that any appointment under this section shall be of a person who for at least thirty (30) days prior to his appointment has been a resident of the supervisorial district in which the vacancy exists.

Sacramento

SECTION 7. VACANCIES. For the purpose of this Section, a vacancy on the Board of Supervisors occurs whenever an incumbent files a resignation with the Clerk of the Board, dies, or becomes ineligible to hold the office for any reason. A resignation, once filed, may not be withdrawn. For the purpose of filling the vacancy pursuant to this Section, a resignation shall be deemed to cause a vacancy immediately on the date the resignation is filed, irrespective of whether a deferred effective date is specified in the resignation. Any such deferred effective date shall not be later than the 30th day following the date on which the resignation is filed. If a later date is specified, the resignation shall be deemed to be effective on the 30th day after the resignation is filed.

Whenever a vacancy occurs on the Board of Supervisors, it shall be filled as provided in this Section.

(a) If a vacancy occurs during the first 730 calendar days of a term of office, the vacancy shall be filled by a special election. Within ten days after the vacancy occurs, the Registrar of Voters shall select and announce a date for a special primary election and a date for a special run-off election to be used if a run-off election is necessary. The Registrar of Voters shall also select and

announce a final filing date for filing to be a candidate, which date shall provide for at least ten days advance notice thereof. The election dates selected shall be the earliest administratively feasible dates available; provided, that the date for the special primary election shall not be more than 60 days after the vacancy occurs and the special run-off election date shall not be more than 28 days after the special primary election date. Except as provided in this Section, the special election shall be conducted in accordance with State law applicable to regular supervisorial elections. If a candidate receives a majority of the votes cast at the special primary election, that candidate shall be elected for the remainder of the term of office. If no candidate receives a majority of the votes, the names of the two candidates receiving the most votes shall be placed on the ballot for the special run-off election at which the candidate receiving the most votes shall be deemed elected for the remainder of the term of office.

(b) If a vacancy occurs during or between the 731st and the 1,095th calendar days of a term of office, the vacancy shall be filled for the remainder of the term by appointment by the Board of Supervisors. If within thirty calendar days following the date on which the vacancy occurs an appointment has not been made, the vacancy shall be filled by special primary and run-off elections scheduled in accordance with the procedures and in the manner prescribed by paragraph (a), above; provided that the times within which the elections must be scheduled shall be 90 days after the vacancy occurs for the special primary election, and not more than 28 days after the special primary election for the special run-off election.

(c) If the vacancy occurs during or between the 1,096th and 1,399th calendar days of a term of office, the vacancy shall be filled by appointment by the Board of Supervisors. If the Board of Supervisors fails to make an appointment, the vacancy shall be filled by the person elected for the succeeding term at either the June primary or November general election, who shall serve both the remainder of the unexpired term and the next succeeding term for which the person was elected.

(d) If the vacancy occurs during or between the 1,400th and 1,460th calendar days of a term of office, the vacancy shall be filled by the person elected for the next succeeding term at the June primary or November general election, who shall serve both the remainder of the unexpired term and the next succeeding term for which the person was elected."

San Bernardino

SECTION 7. A supervisor may be removed from office in the manner provided by law. Any vacancy in the office of supervisor will be filled by appointment by majority vote of the remaining members of the Board from amongst the qualified electors of the supervisorial district in which such vacancy exists. The appointee shall hold office until the election and qualification of his successor. An election shall be held to fill the vacancy for the unexpired term at the next general election unless the term expires on the first Monday of December next succeeding the election. Nomination and election of a supervisor for the unexpired term shall be by district in like manner as hereinbefore provided for such officer. In the event the Board of Supervisors shall not appoint to fill a vacancy within a 30-day period, such appointment shall be made by the Governor.

San Diego

Section 401.4: In the event a vacancy occurs in the office of supervisor the remaining members of the Board shall within thirty (30) days of the vacancy fill the vacancy either by appointment for the unexpired term, by appointment until the qualification of a successor elected at a special

election or by calling a special election If the remaining members of the Board fail to fill the vacancy within such thirty (30) day period, the remaining members of the Board shall immediately cause a special election to be held to fill such vacancy. A special election to fill a vacancy in tie office of Supervisor shall consist of a special primary election and if necessary, a special general election. A special primary election shall be held in the Supervisorial district in which the vacancy occurred on a Tuesday, at least 56 days, but not more than 63 days, following the adoption of the resolution calling the special election, except that any such special primary election may be conducted within 180 days following the adoption of such resolution in order that the special primary election or special general election may be consolidated with the next regularly scheduled statewide election

Candidates at the special primary election shall be nominated in the manner set forth in the Elections Code for tie nomination of candidates for a nonpartisan office for a direct primary election, except that nomination papers shall not be circulated prior to the adoption of tie resolution calling the special election and shall be filed with the Registrar of Voters for examination not less than 39 days before the special primary election

If only one candidate qualifies for the special primary election, that candidate shall be appointed to the vacancy by the remaining members of the Board for the unexpired term, shall serve exactly as if elected to such vacancy, and no special primary election or special general election to fill the vacancy shall be held. A candidate who receives a majority of all votes in the special primary election is elected to fill the vacancy for the unexpired term, and no special election shall be held. In the event here are no more than two candidates for a vacancy, the office shall be voted upon at the special primary election, and no special general election shall be held.

When no candidate receives a majority of all votes in the special primary election, a special general election shall be held on the fourth Tuesday after the special primary election The two candidates who received the highest number of votes in the special primary election shall be the candidates in the special general election, and the one who receives the higher number of votes in the special general election is elected to fill the vacancy for the unexpired term.

In a special election to fill a vacancy in the office of supervisor, the Board may authorize either the special primary election or the special general election, or both, to be conducted wholly by mail, provided that the special primary election or the special general election to be conducted by mail does not occur on the same date as the statewide election with which it Ins been consolidated. In no event may a special primary election or a special general election be conducted on the day after a state holiday. (Repealed and new Section 401.4 added, effective 12-17-82) (Amended, effective 8-7-86)

San Francisco

SEC. 13.101.5. VACANCIES.

(a) If the office of Assessor-Recorder, City Attorney, District Attorney, Public Defender, Sheriff, Treasurer, or Member of the Board of Supervisors, Board of Education or Governing Board of the Community College District becomes vacant because of death, resignation, recall, permanent disability, or the inability of the respective officer to otherwise carry out the responsibilities of the office, the Mayor shall appoint an individual qualified to fill the vacancy under this Charter and state laws.

(b) If the Office of Mayor becomes vacant because of death, resignation, recall, permanent disability or the inability to carry out the responsibilities of the office, the President of the Board

of Supervisors shall become Acting Mayor and shall serve until a successor is appointed by the Board of Supervisors.

(c) Any person filling a vacancy pursuant to subsection (a) or (b) of this Section shall serve until a successor is selected at the next election occurring not less than 120 days after the vacancy, at which time an election shall be held to fill the unexpired term, provided that (1) if an election for the vacated office is scheduled to occur less than one year after the vacancy, the appointee shall serve until a successor is selected at that election or (2) if an election for any seat on the same board as the vacated seat is scheduled to occur less than one year but at least 120 days after the vacancy, the appointee shall serve until a successor is selected at that election to fill the unexpired term.

(d) If no candidate receives a majority of the votes cast at an election to fill a vacated office, the two candidates receiving the most votes shall qualify to have their names placed on the ballot for a municipal runoff election at the next regular or otherwise scheduled election occurring not less than five weeks later. If an instant runoff election process is enacted for the offices enumerated in this Section, that process shall apply to any election required by this Section.

(Added November 2001)

San Mateo

203, Vacancies

If a vacancy occurs on the Board of Supervisors, the Board shall, within 30 days of the effective date of the vacancy, either make an appointment or order the calling of a special election to fill the vacancy. If the Board does not make an appointment or call a special election within 30 days, the county officer responsible for conducting elections shall immediately order a special election to be called to fill the vacancy.

The special election shall be held not less than 102 days and not more than 131 days from the order called the election, except that it may be held on an election date regularly established by general law if that date falls within 270 days from the order calling the special election.

The election shall be conducted pursuant to the general law governing the direct primary so far as applicable, except the county officer responsible for conducting county elections may prescribe the periods for securing signatures in lieu of a filing fee, for circulating and filing nomination papers, for publishing the notice of election and for applying for absentee ballots. The candidate receiving the highest number of votes is elected for the remainder of the term.

Santa Clara

Section 203.2 Whenever a vacancy occurs in the office of supervisor, the vacancy shall be filled by appointment by the Board of Supervisors, or, alternatively, by an election called by the Board. If the appointment or call for an election is not made within 45 days from the occurrence of the vacancy, the Governor shall make the appointment.

If the Board calls for an election, the primary election date shall be within 120 days after the vacancy occurs and the date for the run-off, if necessary, shall be not more than 56 days thereafter. If a candidate receives a majority of the votes cast at the special primary election, that candidate shall hold office for the remainder of the term. If no candidate receives a majority of the votes, the names of the two candidates receiving the most votes shall be placed on the ballot for the run-off election at which the candidate receiving the most votes shall be elected to the office for the remainder of the term.

If the Board makes an appointment, the appointee shall hold office until the election and qualification of the successor. The election of a supervisor to fill an unexpired term shall be held at the next direct primary or general election in each even-numbered year, whichever occurs first. No such election shall be held within 180 days of the occurrence of the vacancy nor within the year preceding the year in which the term expires. The candidate having the highest number of votes shall be elected.

2 Section 203: Amended and ratified by the Voters November 2, 1982; November 4, 1986; November 5, 1996; June 2, 1998.

Tehama

Did not respond with a copy of their charter.

Appendix II

LEXSTAT CA GOV CODE 1770
DEERING'S CALIFORNIA CODES ANNOTATED
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*** THIS DOCUMENT REFLECTS ALL URGENCY LEGISLATION ENACTED ***
THROUGH 2006 CH. 5, APPROVED 1/30/06 ***

GOVERNMENT CODE
TITLE 1. GENERAL
DIVISION 4. Public Officers and Employees
CHAPTER 4. Resignations and Vacancies
ARTICLE 2. Vacancies
GO TO CALIFORNIA CODES ARCHIVE DIRECTORY
Cal Gov Code 1770(2006)

§ 1770. Events causing vacancy in office

An office becomes vacant on the happening of any of the following events before the expiration of the term:

- (a) The death of the incumbent.
- (b) An adjudication pursuant to a quo warranto proceeding declaring that the incumbent is physically or mentally incapacitated due to disease, illness, or accident and that there is reasonable cause to believe that the incumbent will not be able to perform the duties of his or her office for the remainder of his or her term. This subdivision shall not apply to offices created by the California Constitution nor to federal or state legislators.
- (c) His or her resignation.
- (d) His or her removal from office.
- (e) His or her ceasing to be an inhabitant of the state, or if the office be local and one for which local residence is required by law, of the district, county, or city for which the officer was chosen or appointed, or within which the duties of his or her office are required to be discharged.
- (f) His or her absence from the state without the permission required by law beyond the period allowed by law.
- (g) His or her ceasing to discharge the duties of his or her office for the period of three consecutive months, except when prevented by sickness, or when absent from the state with the permission required by law.
- (h) His or her conviction of a felony or of any offense involving a violation of his or her official duties. An officer shall be deemed to have been convicted under this subdivision when trial court judgment is entered. For the purposes of this subdivision, "trial court judgment" means a judgment by the trial court either sentencing the officer or otherwise upholding and implementing the plea, verdict, or finding.
- (i) His or her refusal or neglect to file his or her required oath or bond within the time prescribed.
- (j) The decision of a competent tribunal declaring void his or her election or appointment.
- (k) The making of an order vacating his or her office or declaring the office vacant when the officer fails to furnish an additional or supplemental bond.

(1) His or her commitment to a hospital or sanitarium by a court of competent jurisdiction as a drug addict, dipsomaniac, inebriate, or stimulant addict; but in that event the office shall not be deemed vacant until the order of commitment has become final.

El Dorado County Human Resources Department

**GJ 06-022
February 2007**

Reason for the Report

It was brought to the attention of the Grand Jury by current and former employees that turnover and instability within all levels of the Human Resources Department has impacted the Department's ability to perform required and essential functions.

The Grand Jury responded to these concerns by conducting a review of the Human Resources Department. Upon completion of the initial Grand Jury inquiry it was apparent that there are and have been issues that affect County Departmental interactions and consistency of defined services.

Scope of Investigation

People Interviewed:

- El Dorado County Chief Administrative Officer
- El Dorado County Auditor/Controller
- El Dorado County Deputy Director Development Services for Administration
- El Dorado County Under Sheriff
- El Dorado County Supervisor District II
- El Dorado County Counsel
- El Dorado Deputy County Counsel
- El Dorado County District Attorney Legal Secretary, Social Services Supervisor
- El Dorado County Chief Assistant, County Counsel
- El Dorado County Acting Labor Relations Manager
- El Dorado County Director of Department of Transportation
- El Dorado County Former Deputy Director Human Resources
- El Dorado County Former Analyst, Human Resources (2)
- Public Employees Union Local #1, Executive Director

Documents Reviewed:

- *El Dorado County Charter*
- *County of El Dorado Policy Prohibiting Discrimination, Harassment and Retaliation and Report and Complaint Procedure*
- *The County of El Dorado Invites You To Apply For The Position Of Director Of Human Resources*
- *Job Class Title, Director of Human Resources*
- *El Dorado County Personnel Management Book*
- *County of El Dorado Fiscal Year 2006/2007 Budget & Work Plan*

Background

In keeping with the Grand Jury's directive, the initial inquiry involved an overview of the Human Resources Department and its inter-relationship with other County departments. The purpose of this inquiry was to obtain an awareness of the Department's services and to develop an understanding of its operations. The El Dorado County Charter identifies the Board of Supervisors as ultimately responsible for setting Human Resources policy and personnel rules.

During this investigation a significant number of issues are identified and substantiated by multiple testimonies. The most obvious issues include:

- The Department is undervalued by the Board of Supervisors.
- The Department is dysfunctional due to turnover and inconsistent management.
- The Department turnovers and vacancies result in loss of experienced and knowledgeable employees and reduce the level of service to County departments.
- The lack of proactive staff management in employee performance and training results in early dismissals and unnecessary costly recruiting throughout the County departments.

Facts, Findings & Recommendations:

1F. Facts:

- Some County departments do not utilize or engage the Human Resources Department when conducting personnel related activities.
- The Board of Supervisors does not demonstrate a consistent policy related to County departments handling of personnel matters that circumvent the Human Resources Department.

1F. Finding:

- These issues have the potential for increasing liability in the event of mishandling of personnel related issues. Further, this inconsistency demeans and lessens the stature of the Human Resources Department.

1R. Recommendations:

- The Board of Supervisors must review, update, reiterate and enforce policy for consistency regarding the Human Resources Department's role and responsibilities.
- The Board of Supervisors must effectively communicate their directives with regard to the working relationship between other County departments and the Human Resources Department.
- The Board of Supervisors through the Chief Administrative Officer must enforce the Departmental interface and relationships that meet their stated policy.

2F. Facts:

- There is excessive turnover in the Human Resources Department directorship since 2003.
- While this investigation looked primarily into issues within the Human Resources Department, it is also notable that there is an unusually high level of turnover at the executive level within other County departments. This negatively impacts the ability of County departments to effectively perform essential functions.

2F. Finding:

- Eight (8) Human Resources Directors staffed this position in the last three and a half (3 1/2) years.
 - July, 2003 Human Resources Department Director retires
 - July, 2003 to February, 2004 Deputy County Counsel, acting Human Resources Director
 - February, 2004 to November, 2004 Chief Administrative Officer, acting Human Resources Director
 - November, 2004 to August, 2005 Human Resources Director
 - August, 2005 to November, 2005 contract Human Resources Director
 - November, 2005 to June, 2006 Human Resources Director
 - June, 2006 to January, 2007 Chief Administrative Officer, acting Human Resources Director
 - January, 2007 Human Resources Director

2R. Recommendations:

- The Board of Supervisors must set goals and objectives in collaboration with the Director regarding implementation of a Human Resources Department strategic plan.
- The Board of Supervisors must be supportive and allow the Director to make necessary changes to implement the Human Resources strategic plan.

3F. Facts:

- The *County of El Dorado Fiscal Year 2006/2007 Budget & Work Plan* appropriates \$1,272,646 and eighteen (18) full time equivalent positions to the Human Resources Department.
- Budget and staffing are inadequate; the Human Resources Department cannot satisfactorily perform its role and responsibilities.
- Human Resources employee turnover since June, 2003 include:
 - Ten (10) employees resigned for employment elsewhere
 - Six (6) employees accepted re-assignment in El Dorado County
 - Five (5) employees retired or left County employment.
- El Dorado County labor bargaining units have increased from five (5) to thirteen (13) over the past decade.

3F. Findings:

- Inadequate staffing and funding within the Human Resources Department results in inadequate training and recruiting.
- Excessive employee turnover and unfilled positions severely impacts the Human Resources Department's ability to provide comprehensive and timely services to other County departments.

3R. Recommendations:

- Implement a competitive and diligent recruitment program that fills County vacancies with qualified employees on a timely basis.
- The Human Resources Department must provide State and Federal mandated Human Resources training in addition to supervisory training to El Dorado County employees.
- The Human Resources Department must maintain accurate and current employee training records.

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- Adjust the level of authorized positions in the Human Resources Department from the current level to a level that supports the organizational workload as identified in the *County of El Dorado Fiscal Year 2006/2007 Budget & Work Plan*. These functions are:
 - Discipline, EEO (Equal Employment Opportunity), Discrimination Complaints
 - Recruitment and Testing
 - Training and Orientation
 - Labor Relations
 - County Personnel Operations, Support
 - Classification/Salary Administration
 - Risk Management
- The Board of Supervisors must provide the necessary adjustment in the budget to allow the Human Resources management to make the needed changes.

4F. Fact:

- The *El Dorado County Personnel Management Book* has not been updated.

4F. Finding:

- The *El Dorado County Personnel Management Book* is outdated and does not reflect current applicable laws and human resources practices

4R. Recommendation:

- The *El Dorado County Personnel Management Book* must be reviewed and updated as a minimum on an annual basis, to reflect changes in applicable laws and human resource practices.

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COMMENDATION REPORT SOUTH LAKE TAHOE ANIMAL CONTROL (GJ 06-030)

SUMMARY

The El Dorado County 2006-2007 Grand Jury commends the South Lake Tahoe Animal Control shelter for their excellent work in serving the citizens of the County.

The South Lake Tahoe Animal Control shelter was investigated by the 2003-2004 Grand Jury resulting in six (6) recommendations. The 2005-2006 Grand Jury conducted a follow-up inspection to determine the status of the work related to the county's response to the 2003-2004 Grand Jury Final Report. The Jury in 2005-2006 reports that as of June 1, 2006 no recommendations were implemented, but would be implemented in the future.

On October 4, 2006 the 2006-2007 Grand Jury conducted an additional follow-up site inspection of the South Lake Tahoe Animal Control shelter. The Supervising Animal Control Officer provided a comprehensive tour; including a briefing about the status and scope of their facilities improvements. Within days prior to the inspection, the county closed escrow on land adjacent to the shelter. This purchase allows for building modifications and facilities improvements that will address the recommendations in the 2003-2004 Grand Jury. Given the broad scope of this project, the work will begin as weather permits and is expected to be completed in 2007. Remodeling plans include:

- Expansion of the building by 700 square feet, with improved floor space to maximize space
- New reception and lobby area for greeting the public
- Improving parking lot with additional capacity
- New pet meeting room to enhance the adoption process
- Improving dog kennels, resurface flooring to enhance sanitation, new gates to reduce barking, and skylights to allow for natural lighting
- New housing and adoption rooms for cats
- New quarantine areas for housing sick animals or those that need to be isolated.
- A raised roof in the kennel area
- Adding outdoor covered exercise areas for animals
- Drainage and ventilation improvements
- Effective, functional workspaces for staff and volunteers
- Improved security.

The South Lake Tahoe Animal Control staff is commended because they are providing exemplary service under difficult conditions. Therefore, the 2006-2007 Grand Jury compliments El Dorado County South Lake Tahoe Animal Control for the caring and meaningful service they provide.



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EL DORADO COUNTY GRAND JURY ROSTER 2006-2007

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Rene (Ray) Van Asten, Foreman
Frederick (Fritz) Engel, Foreman Pro-Tem

Charlotte M. Blasier
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Thelma Miller
Rosemary Mulligan
Jerome T. Pesto
Michael W. Powell
Robert Rowberg
Jane K Sullivan
S. Allen Samson
William (Bill) Trinidad
Larry A. Williams
Harlan J. Yellen

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e-mail: grand.jury@co.el-dorado.ca.us
Phone (530) 621-7477
Fax: (530) 295-0763
Mail: El Dorado County Grand Jury
P.O. Box 472
Placerville, CA 95667