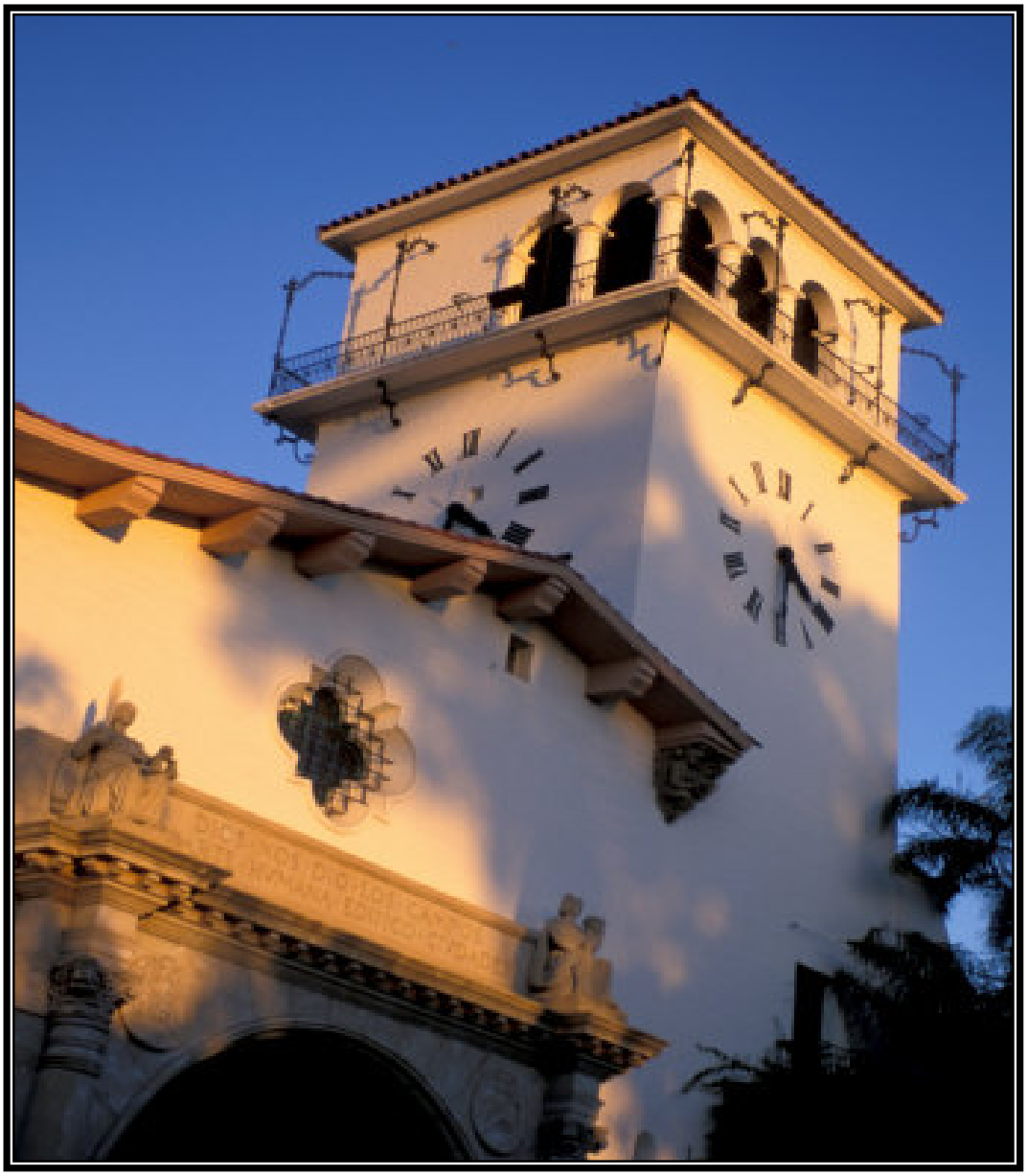
Office of the Auditor-Controller

County of Santa Barbara, California

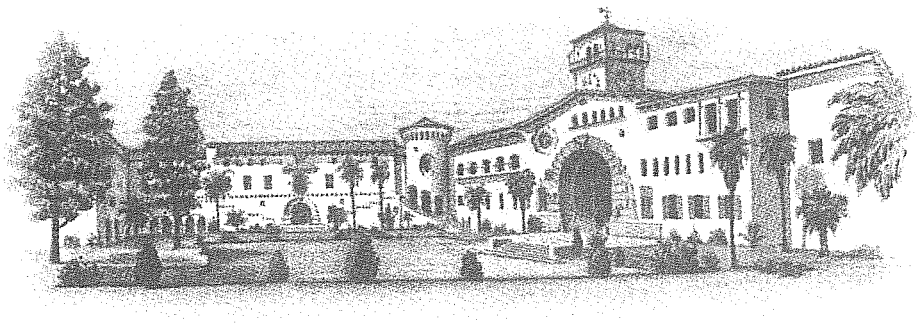


Employee Orientation Manual

COUNTY OF SANTA BARBARA

ROBERT W. GEIS, C.P.A.
Auditor-Controller

THEO FALLATI, C.P.A.
Assistant Auditor-Controller



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OFFICE OF THE AUDITOR-CONTROLLER

Hello,

Welcome to the Auditor-Controller's Office. I had the great honor of being elected to serve as the County Auditor-Controller in 1990 and have since been re-elected to several four-year terms. I love my work, and hope that you will feel the same about working here. Each day brings us an opportunity to learn, make a difference, and have fun.

Forget any negative stereotype you may have believed about working for the government. This Department is innovative, dynamic, and staffed with competent, enthusiastic individuals. We know you will join us in upholding high standards of public service. A citizen should never be treated as an interruption of what we are doing, but rather as the reason why we are here.

I believe in the value of every person who works in this Department. You will be an important contributor to the successful achievement of the department's goals and objectives. Please don't hesitate to share your insights and suggestions with your supervisor or me. As an incoming member of the Department, we especially value the fresh eye that you bring to the Department, and the valuable lessons you have learned in other environments.

We are providing you with mounds of paperwork about your employment. Besides the County-wide information, we have developed an orientation guide to our Department which should give you insight into our customs and practices here. If you have any questions, our Department Administrator is very knowledgeable and helpful. Again, welcome!

Respectfully,

Robert W. Geis, CPA
Auditor-Controller

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STATEMENT OF PRINCIPLES AND VALUES

COUNTY OF SANTA BARBARA
AUDITOR-CONTROLLER'S OFFICE
ROBERT W. GEIS, CPA, AUDITOR-CONTROLLER

The Auditor-Controller is dedicated to act in a way that will serve the public interest, honor the public trust and demonstrate a commitment to professionalism. To achieve these ends, we pledge:

- To perform all duties with integrity and honesty
- To remain independent, objective, and accountable to the citizens for our actions
- To be prompt, careful and thorough when rendering our services to the public, other County departments, special districts, and other governmental agencies
- To maintain an effective financial accounting and reporting system that will communicate information to the public in an accurate and timely manner
- To continuously seek ways to improve the effectiveness and efficiency of our processes and to assist other departments to do the same
- To hire, train, motivate and retain the highest quality work force in a non-discriminatory manner
- To continuously strive to be deserving of the trust placed in us by the County's citizens

Robert W. Geis
Auditor-Controller

INTRODUCTION

This manual is intended to provide an introduction to policies and procedures for employees of the Auditor-Controller's office. Please review the contents of this manual, and then sign and return the attached sign-off forms (see Appendices) to the Office Manager.

MANAGEMENT PHILOSOPHIES OF THE AUDITOR-CONTROLLER'S OFFICE

Our office has been profoundly influenced by the management philosophies of the late W. Edwards Deming. Though Dr. Deming's work is difficult to summarize in a few sentences, we hope you will see some of the key concepts at work in our Department.

One is a focus on cooperation rather than competitiveness. We strive to keep information flowing between the people and Divisions of the Department, and encourage every employee to gain a broad perspective and understanding of the work of the Department. We assemble teams from different Divisions to work on new projects, and try to spread information about creative solutions throughout the organization. In addition, many employees rotate between Divisions.

Another tool that we have borrowed from Deming is a measurement focus. We evaluate our current systems by measuring their output and accuracy, then tinker with the systems to see if we can make improvements. By creating tangible ways to measure success, we can tell if we've improved.

This emphasis on process improvement is key to Deming. He notes that employees are often blamed if things take too long, or if products are flawed. In Deming's view, errors and inefficiencies are invariably the result of bad processes rather than deficient employees. He urges continual evaluation of processes to determine if there's a better way to accomplish a goal. We find this particularly true in our age of rapidly advancing technology, where our old habits may be the only thing holding us back from new solutions.

We are very proud of the work that has been accomplished in the Auditor-Controller's Office over the past ten years. Within a framework of these management philosophies, we have achieved greater control over financial information and radically shortened the time it takes to perform many operations. Our output has increased in complexity and accessibility. The excellence of our Comprehensive Annual Financial Reports has been recognized by the Government Finance Officers Association with a string of Certificate of Achievement for Excellence in Financial Reporting awards for the past several years.

We desire to provide greater public service, maintain high standards of accountability, work in cost-effective ways and constantly develop our human resources. You are encouraged to evaluate all the work processes you encounter. Keep asking, "Why

do we do it this way and not this way?" We encourage you to ask questions, make suggestions, and envision better processes, better results, and a better work environment.

WHAT DOES THE AUDITOR-CONTROLLER'S OFFICE DO?

The Office of the Auditor-Controller has broad fiscal authority within the County of Santa Barbara. We serve as the Chief Finance Officer for the County, advising the Board of Supervisors about accounting policies and procedures to be used throughout the organization. We provide public financial information, notably the County's Comprehensive Annual Financial Report (CAFR), the Final Budget, and the Cost Allocation Plan (CAP). We are responsible for developing a variety of sophisticated internal reporting and modeling systems, such as the Financial Information Network (FIN) and the Pay+ computer applications. In addition, we perform calculations and allocations to distribute property tax revenues amongst various local jurisdictions. We also serve as an internal auditor, performing audits on the County and various independent Special Districts.

ORGANIZATION OF THE AUDITOR-CONTROLLER'S OFFICE

ADMINISTRATION

The Administration section of the office consists of the Auditor-Controller, the Assistant Auditor-Controller, and support staff (a departmental Administrator and a receptionist).

DIVISIONS

Our Department is organized into several Divisions:

- Internal Audit
- Fiscal Systems
- Projects
- Financial Reporting / Budget and Cost
- Property Tax
- Financial Accounting & Customer Support (FACS)
- Payroll
- Specialty & Advanced Accounting

Each Division is headed by a Division Chief and has specific areas of responsibility, though it is not unusual for special project teams to span personnel from several Divisions. The following describes the responsibilities of each Division in greater detail.

INTERNAL AUDIT DIVISION

In a broad sense, the Internal Audit Division examines the overall accountability of the County government, providing a valuable service to the organization. These examinations, culminating in recommendation and counsel, can be categorized as follows:

Compliance Audits - Evaluation of compliance with organizational policies and procedures, laws and regulations, including appropriated budgets, State/Federal oversight requirements, IRS, bond covenants, local codes and other grantor requirements. Many of these audits are required by statute or contract.

External Financial Audits - Verification of the reliability and integrity of financial information of special district governments within the county.

External Audit Assistance - Direct assistance given to the county's external CPA firm to perform the annual audit of the County's financial statements (CAFR) and the "Single Audit." The "Single Audit" is designed to satisfy all the audit requirements of the Federal agencies that give money to the county.

Business Process Reviews / Operational Audits - Evaluation of the efficient use of resources, and/or the effectiveness of operations to make sure that programs are carried out as planned and results are consistent with goals and objectives.

Fraud - Investigation and reporting of fraud, defalcations, missing property, and other losses to the organization.

Internal Control Reviews - Reviews of internal control structures either implemented or planned for the adequacy of safeguarding assets in a cost-effective manner.

FISCAL SYSTEMS DIVISION

The Fiscal Systems Division provides IT technical support for the Auditor-Controller's Department. This includes managing the department's local area network (LAN), remote and local servers, and maintaining hardware and software configurations to insure reliable network connections. The following is a summary of the functions performed by the Division:

- Administers LAN security and access rights. Sets up rollout procedures for those applications that need to be moved to other servers throughout the County. Troubleshoots and resolves problems with end users on the network.
- Replaces equipment including servers, desktops, monitors, printers, and other IT gear as needed. Upgrades operating system and application software on client and server computers.
- Documents and maintains software licenses used by the department, and keeps an inventory status of all IT equipment.

- Coordinates backup processes and procedures for system recovery with ITS and other users in the department who may be impacted.
- Provides remote access, along with limited support, to outside agencies that use our supported applications and databases.
- Makes business process and programming improvements to various financial applications, and develops, tests, and installs special software for unique projects that may be relatively smaller in scope.
- Hosts a departmental Infrastructure Committee that regularly sets agendas and meetings so that office needs are identified and plans are coordinated to meet the needs of the office and users.

PROJECTS DIVISION

This is a relatively new division in the Auditor-Controller's Office. This division was created in order to group the programming staff together for the purposes of providing advanced technical solutions. This division evaluates, develops, implements and maintains effective automated financial accounting and reporting systems that record and communicate information to the public in an accurate and timely manner.

This division is responsible for maintaining several countywide systems, including FIN and Pay+. It also administers the database and application servers for the department. In addition, this division provides expertise and advice in the information security realm.

The premier mission-critical systems developed within the department are:

The Financial Information Network (FIN) is a financial accounting and reporting system used throughout the County. This powerful software integrates budget information and day-to-day operations for the entire County and has many features that enable Santa Barbara to lead the state in speedy financial reporting.

The Pay+ system is a sophisticated recording and reporting application used throughout the County to manage personnel records, benefits, retirement, and payroll accounting. The system is used by the Auditor-Controller, Human Resources, and SBC Retirement departments.

There are two websites that provide easy access to the personnel and payroll data maintained in Pay+ for both employees and departments. The Employee Self-Service (ESS) website allows employees to view much of their personal information on-line, from any computer in the world. The Departmental Employee Network (DEN) website allows departments to look up information on their employees and run reports. Access to this website is only available from within the County.

FINANCIAL REPORTING / BUDGET AND COST DIVISION

The Financial Reporting Division fulfills many of the County's requirements for public financial disclosure. Some of its major work products are:

Annual County Budget. Budget requests are prepared annually by the County Departments for submittal by the County Administrator's office to the Board of Supervisors. Using internally developed software to integrate historical and current fiscal information, Division personnel assist the Departments in preparing their budget requests in the proper format, and revising the budget requests to reflect changes made by the Board of Supervisors. Additionally, the Division "loads" the budget into FIN in order to monitor budgetary compliance.

Comprehensive Annual Financial Report (CAFR). The Division compiles all accounting data resulting from the County's financial operations at the end of each fiscal year and produces Financial Statements in accordance with applicable laws and governmental accounting standards. This report is available to the public and filed with the State of California.

Cost Allocation Plan (CAP). The Countywide Cost Allocation Plan is completed annually. This is a distribution of County overhead costs for space, equipment, and central service departments to operating departments, conducted under guidelines in Federal OMB Circular A-87. The cost plan helps the County to assess accurate costs for development of general user fees and grant requests and is audited by the State Controller's Office annually.

Proposition 4/111 Appropriations Limits. Since the passage of the Gann Initiative, the County and its Special Districts have had limits on how much they can spend annually. The Financial Reporting Division annually calculates these complex limits for certification by the Board of Supervisors.

Capital Asset Accounting. The Division maintains an inventory of all capital assets and assists the Departments in meeting governmental accounting standards in acquiring and characterizing these assets.

Grant Management. The Division maintains and supports a Grants Management System (GMS) database. Departments use the GMS to budget and monitor grant revenue and expenditures and to report grant information for the County's annual Single Audit.

Fee Review. The County has a policy of full-cost recovery for services provided to the public. The Division reviews fees charged to the general public and assists the departments in achieving full cost recovery.

PROPERTY TAX

The Property Tax Division is responsible for preparing the County-wide property tax levy. The levy is computed on one-percent of the assessed value of the property, plus

any additional fixed or ad valorum charges, benefit assessments, and bonds. This levy creates the property tax bills that the Treasurer/Tax Collector mails to property owners annually. After the Tax Collector receives payment from property owners, the Property Tax Division is responsible for distributing the tax proceeds to all government agencies, cities, schools, special districts, and the County. This section also processes corrections to the tax roll throughout the year.

FINANCIAL ACCOUNTING AND CUSTOMER SUPPORT (FACS)

FACS handles payments to County vendors, processing an average of 500 documents daily. Efficiencies in the Division have resulted in a processing cycle of approximately 2 ½ business days from arrival of a vendor payment request to a mailed warrant or direct deposit.

In addition to these areas, FACS is also responsible for reconciling daily deposits, creating journal entries, reconciling bank account activity, and providing charge cards to Departments for travel. FACS also staffs the "Help Desk," an accounting referral and aid service available to the entire County.

PAYROLL DIVISION

Every employee who gets paid through the County of Santa Barbara has reason to appreciate this Division. Payroll is responsible for processing over 4,500 payments to employees every two weeks, processing Flexible Spending Plan claims, as well as handling all the accounting and reporting for the myriad payroll withholding and benefits tracking as outlined in the many complex Memoranda of Understandings.

SPECIALTY AND ADVANCED ACCOUNTING

The Specialty Accounting Section is responsible for three basic areas. The first is the budget, distribution, forecasting and analysis of the general revenues of the County. These revenues include all the components of sales tax, which are Realignment, Proposition 172, Motor Vehicle in Lieu, County Sales Tax, Measure D (Local Transportation Authority), as well as Transient Occupancy Tax. The second area is providing liaison to independent special districts, assisting these districts in the areas of budgeting, financial reporting, and operations. The third area of responsibility is disaster accounting: tallying expenditures made by the County in response to state and federally declared disasters, making application for reimbursements, and preparing documentation for audit.

The Advanced Accounting Section was created to provide assistance by contract to other County Departments, special districts, and other governmental agencies for special projects.

STAFFING OF THE AUDITOR-CONTROLLER'S OFFICE

The Organizational Chart (see Appendices) shows some positions we have funded in the current budget, as well as the names of the people who are currently employed in those positions. Each division depicted on organizational chart is made up of professional staff that all combine to make up the Auditor-Controller team. The Organizational chart shows the department's management and administrative leadership positions as well as the names of the people currently in those positions.

WORKING FOR THE COUNTY OF SANTA BARBARA

The County of Santa Barbara is one of the largest employers in the region. There is a Human Resources Department organized to serve the needs of its thousands of employees, and there are many information sources available to help you in becoming oriented to the County. Our Departmental Assistant is also a good source of information.

These are some of the main references you may wish to check out:

COUNTY INTRANET

A great deal of material that will be of interest to you as a Santa Barbara County employee is available through your computer. To access the County Intranet, go to your Start menu, and click on the following choices: Programs / Internet Explorer. Enter the following address for the SBC Intranet:

http://sbchome.co.santa-barbara.ca.us/index.asp

YOUR EMPLOYEE HANDBOOK

This booklet published by the County and intended to give an overview of County-wide policies and procedures. This contains a good summary of County employee benefits, how the County is organized, and the roles of Union "bargaining units" and Civil Service. Many of the basics will be found in this publication, and we have tried not to duplicate that information here.

http://www.sbcountyhr.org/staffing/hb/hb1.html

MEMORANDUM OF UNDERSTANDING, LOCAL 620

Many of the specifics of the benefits and policies in the Auditor-Controller's Office are reached through negotiation between the County of Santa Barbara and the collective bargaining unit that represents Departmental employees. Most employees in our Department, together with many other employees throughout the County, are represented by Service Employees International Union, Local 620.

http://www.sbcountyhr.org/relations/mou/mou620.html

CIVIL SERVICE RULES

Many years ago, local voters decided that County employees should be governed by Civil Service Rules and Procedures. Many bedrock employment procedures, such as job classifications and salary step increases, are contained in these rules.
http://www.sbcountyhr.org/staffing/csrules/index.html

EMPLOYMENT OPPORTUNITIES

With such a large workforce, the County is always recruiting for additional employees. The County Intranet, Personnel Department, has a section on Employment Opportunities. Some are only open to current County employees ("Promotional Employment") and others are available to anyone. You are encouraged to recruit your qualified friends, and to seek your own job advancement throughout the County. Employment applications are also available electronically.
http://agency.governmentjobs.com/sbcounty/default.cfm

WORKING FOR THE AUDITOR-CONTROLLER'S OFFICE

BUSINESS AND WORK HOURS

The Office of the Auditor-Controller is open to serve the County and the general public from 8 a.m. to 5 p.m. Monday through Friday, excluding observed holidays. You will probably be required to schedule your work hours to be available during this period of peak demand.

Some deviations from this schedule may occur based on work assignments and peak workload cycles. In addition, you may be required to work overtime. Your supervisor will communicate with you regarding any special scheduling requirements and will try to minimize the disturbances to your personal life.

Alternative work schedules are available and you are encouraged to speak with your supervisor about your options as they fit within the context of your division's staffing needs.

TELECOMMUTING

In the Auditor-Controller's office, some positions and type of work lend themselves to telecommuting more than others. If you think telecommuting will be beneficial to you and the department, please discuss with your division chief.
Telecommuting policy: http://sbchome.co.santa-barbara.ca.us/HR/documents/telecom.pdf

HOLIDAYS

The Office of the Auditor-Controller is closed on observed County holidays. These are:

New Year's Day (January 1st or the closest weekday)
Dr. Martin Luther King Jr.'s Birthday (Third Monday in January)
Washington's Birthday (Third Monday in February)
Memorial Day (Last Monday in May)
Independence Day (July 4 or the closest weekday)
Labor Day (First Monday in September)
Veteran's Day (November 11 or the closest weekday)
Thanksgiving Day (Fourth Thursday in November)
Thanksgiving Friday (Day after Thanksgiving)
Christmas Day (December 25 or the closest weekday)

Employees also receive a floating holiday balance the first pay period of the year. Employees in management bands receive one day while all other regular employees receive two. These holidays are given the 1st pay period of the year and are forfeited if not taken before the end of the year. As such employees are encouraged to use them before other vacation hours to ensure they are not lost.

MEAL AND REST PERIODS

You may take two fifteen-minute rest periods during the day. Typically, they are not taken during the first or last hour of the workday, or during the hour before or after your lunch break. Also, they cannot be used together (consecutively) as a half hour. A lunch hour of sixty minutes in duration can be taken between the hours of 11 a.m. and 2 p.m. Your supervisor will notify you if there are any additional scheduling requirements based on work assignment or overall staffing considerations. Similarly, your supervisor will be happy to discuss any special scheduling needs you may have.

If you are going to be on travel status, or temporarily assigned to a remote work site, it may be most convenient to follow local customs regarding the scheduling of your breaks and lunch hour. You can discuss this with your supervisor if you need guidance.

YOUR DAILY CALENDAR

We are fortunate to have many technological aids to help us communicate our daily schedules. Please keep track of your daily appointments and days out of the office through your e-mail calendar. It is much easier to schedule group meetings via e-mail when this information is recorded. If you are going to be out of the office for a day or more, you can change your voicemail message to inform callers. Various Divisions within the Department also have Sign In / Sign Out boards located at prominent locations as communication aids. In addition, please call your supervisor by your normal start time if you will be delayed by more than 15 minutes or if you are unable to come to work.

VACATIONS

All employees are encouraged to take vacations regularly and enjoy periods of relaxation from work. There is a maximum allowable accrual for vacation time, so don't risk losing part of this benefit by deferring your vacations too long!

Plan your vacations as far in advance as possible. Submit a written request or email to your supervisor; use a "Request for Time Off & Authorization for Overtime" form when required by your supervisor for extended leave. Supervisors are responsible for scheduling all employees' leave times to insure coverage for departmental work deadlines, and will be most able to accommodate your requests if given adequate notice.

TIMEKEEPING REQUIREMENTS

You must turn in a time card to be paid. Your current, two-week time card is available on your computer workstation. Enter your time daily for maximum accuracy. At the end of the two-week pay period, electronically forward the card to your supervisor so that it may be routed to Payroll.

It is important that you accurately record earnings codes such as "regular" earnings, "personal sick leave", "vacation" pay, etc. It is also important that you characterize the type of work that you do during your regular working hours. The Auditor-Controller's Office provides support services to the entire County of Santa Barbara. Those services are tallied and allocated to each of the departments through an annual Cost Allocation Plan. The validity of this plan, an important work product of the Auditor-Controller's Office, is dependent upon accurate time card allocations. Your supervisor will help you to properly identify and code your work.

PAYROLL

Pay Day is every second Thursday (biweekly). For questions about your payroll, contact the Departmental Payroll Clerk or the Payroll Division. For questions about benefits, contact the Benefits Division of the Human Resources Department. For questions regarding retirement, contact the SBC Retirement Department.

PERFORMANCE EVALUATIONS

The Auditor-Controller's Office conducts regular performance evaluations of all its employees. We intend this to be a positive experience that focuses attention on you, your objectives and accomplishments, and the assistance we can provide to help you enhance your skills. Make the most of this attention. Perform a self-evaluation in advance and discuss your insights about your job and your goals with your supervisor during the review.

Areas of focus in the written performance evaluation are:

- punctuality and promptness
- quality of work
- productivity
- conduct / work habits
- job knowledge / skills
- Interpersonal relations
- judgment; analytical ability
- written and oral expression
- initiative
- performance with minimum supervision
- safety practices

Those in supervisory roles are also rated on:

- leadership
- resource management
- selection, evaluation and training of staff
- assignment and supervision of staff

Several reviews will be conducted while you are in probationary status. Your supervisor will be happy to discuss any aspects of your job performance or expectations with you. In subsequent years, you will be reviewed annually, though you are always welcome to seek out your supervisor to discuss any aspects of your job or performance that merit feedback. For management and leadership bands and Financial Office Professional positions, please refer to individual development plans.

DRESS CODE

The Office of the Auditor-Controller is a professional accounting environment. Employees are expected to follow prevailing business custom regarding professional attire, and dress in a manner that reflects the positive image of the Department. Our office observes "casual Friday" attire. On those days, "business casual" is acceptable, but cleanliness and modesty still prevail. Beach attire, such as shorts, tank tops, flip-flops or sandals, is not appropriate.

BUSINESS TRAVEL

Occasionally you may be required to travel as part of your job duties. This can bring you into contact with a number of other people. Please be aware of the enormous capacity you have for creating or sustaining a positive public image through your appearance and conduct.

In the Auditor-Controller's Office, all travel is authorized by the Assistant Auditor-Controller. Once you and your supervisor have agreed that you will be traveling, please

inform the Departmental Assistant, who will assist you with your travel arrangements and make sure that the proper authorizations have been received.

There are a number of County policies that pertain to business travel and which can be accessed through the Intranet. They cover County vehicles and reimbursement of expenses incurred. These policies can be found at the following location on the County Intranet:

http://cao.co.santa-barbara.ca.us/Policies.asp

TRAINING AND EDUCATION

The Auditor-Controller is dedicated to act in a way that will serve the public interest, honor the public trust and demonstrate a commitment to professionalism. To achieve these ends, we pledge.....To hire, train, motivate and retain the highest quality workforce in a non-discriminatory manner". (excerpt from "Statement of Principles and Values" - SBC Auditor's Office).

The Auditor-Controller's office is committed to the value of training for enhancing staff effectiveness, productivity, and morale. Accordingly, it is our goal to set aside 2% of our department's annual budget for training. As part of the Department's goal of continuous improvement, staff training is encouraged and will be subsidized to the extent funds are available according to the following guidelines:

1. Full reimbursement or payment for training that has a direct nexus to performing one's job duties. That is, training that would directly lead to the individual being more effective or productive. This training would normally be of a technical or 'job-specific' nature. Examples might be – a programming course for a systems developer that would enable the person to program a new system using the newly learned language; a course on payroll processing for payroll staff; a course on the latest GASB changes for Internal Audit or Financial Reporting staff; computer security training for the departmental security officer, etc.

2. Full reimbursement or payment for training that could have a beneficial, but an indirect effect on the employee's performance. This training would be of a more general nature than the technical or 'job-specific' training referred to in paragraph 1 above. Examples could be courses on stress management, negotiation strategy, time management, customer service principles, etc. Because of the somewhat general nature of training in this category, supervisors should exercise care in reviewing and approving training requests.

3. CPA Review Courses –the Department places a high value on professional certification, and as such has entered into a preferred provider agreement with Becker CPA for review materials. The Department will cover 75% of Becker's standard CPA review course registration fees which will be reimbursed to the

employee after course registration. CPA exam test fees are the responsibility of the employee. The employees' time for four exam day(s) and related travel (if any) should be coded to 'training'.

4. College Level (including Certificate) Courses – If a course is directly related to enhanced job performance (see paragraph 1 above), the County will fully pay or reimburse employee for the cost of tuition and books. The County will not reimburse employees for 'general education' course that might be required as part of a certificate program (e.g. a history course). Evidence of a passing grade is required to obtain the reimbursement.

5. Required CPE Credits - The Department's goal is to reimburse CPA's for 40 hours of training annually. Due to budget restrictions, it is expected that the bulk of these hours would be obtained from low cost sources (on-line, correspondence, etc).

6. Professional Meetings – attendance at professional association meetings (e.g. Tax Managers Assoc., County Audit Chiefs, etc.) is encouraged subject to availability of training funds. Proposed attendance at such meetings must be approved in advance by the Auditor-Controller or the Assistant Auditor-Controller.

Employees are encouraged to help minimize costs involved with training by carefully selecting training locations, modes of transportation, and by utilizing government rates for airfares and hotels when available.

It is the Department's goal to provide training funds to staff in an equitable manner on as 'as-needed' basis. In making this determination, benefit to the County should be the overriding factor to consider: the potential impact of specific training on staff productivity, accuracy and work quality should be articulated by the division chief in each instance.

Division Chiefs are responsible for estimating and justifying the need for training funds in their division on an annual basis. After approval by your Division Chief, all requests for training must be approved in advance by the Assistant Auditor-Controller.

Check out the Employees' University for a variety of courses offered to employees. Classes are provided at a low cost, are taught by trained instructors (some of which may be your fellow employees), and are located conveniently nearby.
http://www.employeesu.com

CPA CERTIFICATION

The Auditor-Controller's office is committed to assisting our professional staff in achieving advanced certifications such as the CPA License.

In addition to the reimbursements for course material and continuing education requirements that are delineated in other sections of this document, the department will

make every reasonable, within budgetary constraints, effort to provide CPA candidates with the requisite number of experience hours for both the General Experience Certificate and the Attest Experience Certificate.

CPA Experience Requirement

The experience to be considered as qualifying for the Attest Experience Certificate is that which enables the applicant to demonstrate the ability to understand the requirements of planning and conducting a financial statement audit or perform other attest services with minimum supervision that results in an opinion on full disclosure financial statements. For the supervisor and the Auditor-Controller to complete the Attest Experience Certificate as meeting the experience requirement it is expected that the applicant will have gained a variety of experience in applying audit procedures and is able to demonstrate the competencies listed on the certificate. The supervisor's opinion that the specific experience the applicant has received represents satisfactory ability and knowledge of current practice standards and pronouncements is important in this determination.

While there is a general minimum of 500 hours of attest experience required by the California Board of Accountancy, many applicants may not obtain adequate experience to satisfactorily demonstrate the required competencies in this time period. The Attest Experience Certificate will only be completed as accomplishing these criteria after the candidate satisfactorily demonstrates the required competencies.

It is our experience that these competencies are generally not demonstrable until the applicant has performed roughly 1,000 or more hours of varied audit work at multiple levels over multiple engagements.

CPA Incentive Allowance

As additional incentive to encourage our professional staff to achieve CPA status and earn their license, we have implemented a CPA incentive allowance that provides for a 5% allowance above base pay upon posting by the State Board of Accountancy on their website that the individual's license is clear, current and valid. This allowance applies to staff below management level only.

YOUR WORKSTATION

Your workstation has been designed to be functional and attractive. We expect you to contribute to the professional look of the office by keeping your workstation clean and free of clutter. Please don't use your walls as bulletin boards. You may mount a couple of favorite photographs or artwork and a calendar, but please try to minimize visual clutter. Likewise, overhead cabinets should be kept closed and desktops free of extraneous material.

Janitorial services to the Auditor-Controller's Office are minimal and you will also be responsible for the cleanliness of your workstation, including vacuuming, dusting and emptying your trash as necessary.

DISPOSAL OF DOCUMENTS

There are trash and recycling containers immediately outside our office doors and we encourage you to recycle as much as possible. If you need to dispose of confidential or private documents, please use the shredding bins throughout the office. Refer to supervisor for assistance determining which documents are confidential.

THE BREAK ROOM

The entire office shares a break room that contains a refrigerator, microwave oven, toaster, coffee makers, and a table and chairs. Personal utensils, plates and cups are not provided. We prefer that you eat in the break room rather than at your desk. Refrigerated or frozen food should be labeled with your name and leftovers should be promptly removed.

Please be considerate of others when cooking pungent foods. Clean up your spills or messes immediately, and wipe the interior of the microwave any time spattering occurs. For safety reasons, please do not leave the break room while you are cooking meals in the microwave.

In addition, each person in the office is assigned to a week-long break room duty. In this capacity, remove old newspapers, toss obviously old and forgotten items from the refrigerator, vacuum the floor, and monitor overall tidiness.

PARTIES

In the summer, to celebrate our year-end wrap-up meeting, we have a picnic in Alameda Park.

We also enjoy a holiday party in December hosted by Bob Geis and the Division Chiefs.

CONFERENCE ROOMS

There are three conference rooms available in the Auditor-Controller's Office. They are known as the "Front Conference Room" (closest to the receptionist) and the "Media Room" (at the bend in the office), and "The Library" (outside front conference room). Each has an electronic calendar available in the email system and you may schedule meetings via email. Each room also contains a conference phone.

The conference rooms are generally for the use of Auditor-Controller staff only. However, occasionally meetings will include people outside of the department. When this

occurs, at least one Auditor-Controller staff member should be present to meet and greet the external attendees and guide them through the office.

OFFICE SUPPLIES

Office supplies are available in the cabinets near the Break Room. The Receptionist can order additional items that you may need. Please inform her if you notice that we are getting low on an item, or if you take the last one.

PERSONAL USE OF COUNTY PROPERTY OR EQUIPMENT

Remember that we are the Department that investigates fraud or misuse of public assets, and that we control the disbursement of public funds. These are serious responsibilities, and our personal actions need to reflect our Department's reputation for integrity. Occasional personal use of such County assets as the telephones, copy machines, computers, office supplies, FAX machines or the Internet is almost unavoidable, but when use veers into misuse, serious consequences can result for you and the Department! We have developed the following reasonable guidelines regarding these issues that you should review. As always, you should seek the counsel of your supervisor if you have questions.

COMMUNICATION TECHNOLOGY

As practitioners in the Communication Age, we are committed to maintaining the most modern and effective methods of communication. Ironically, however, all communication begins at the personal level, and our tools will never be any better than the originating impulses that drive them!

Think before you communicate. Choose your method to enhance your effectiveness. Telephone calls can be a good method of interacting when you have to both ask questions and transmit information, but they are an interruption to the receiving person. Email communication can be less obtrusive, and is particularly effective to pose a question that might require research or to transmit information. Though the format is somewhat informal, organize your thoughts before you write. Proofread and spell-check your text before you send it. Typically, the email will be addressed to the person or persons who need to act, with copies to those who need to know, and perhaps a blind copy to yourself if you need a record of your communication. Also, take appropriate security precautions when using email, as this is a common attack venue for viruses. Delete email from suspicious or unknown sources, and notify your LAN administrator if you receive anything that appears malicious or may contain a virus (do not forward the email to anyone).

Remember that all communications may reach people other than the intended recipients. The layout of our offices means that many things you say on the telephone can be overheard. Voice mail messages can be forwarded, and emails even can be amended and forwarded. As a rule of thumb, don't say or write anything that you wouldn't want to have come back to haunt you – and the County, since its imprint will be on anything originating from the technology sources it owns.

The Internet poses additional challenges to users. Though it is a valuable research tool, it is also a vast, chaotic, unregulated and potentially dangerous place. Seek training if you are uncertain how to navigate, and be aware that you are creating records of your pathways as you move through the Internet. Similarly, you are exposing the County infrastructure to potential damage by engaging with an external technology source. The County is very active in protecting its resources with anti-virus software and other filters; be sure you follow proper procedures so that you don't accidentally override these protections.

Normal business ethics and protocols must guide your actions on the Internet. In particular, it would be improper to compromise County security or confidentiality, violate software-licensing rules, infringe on copyrights, plagiarize, or exhibit discriminatory or offensive behavior prohibited by County policies. In addition, be aware of and avoid "streaming media" files (such as listening to music or viewing videos over the Internet), which can clog resources and impede others' access.

Though these communication tools are provided for County business use, incidental personal use during your breaks, lunch hour, or after hours is not prohibited. Take precautions to use County computers in a secure way, which includes not downloading unnecessary files from the Internet, and scanning any disks for viruses prior to use. Again, be aware that the County's imprint will be on all of your communications; if the recipient may not realize that you are acting in a personal capacity, make that fact explicit. And if you're thinking about doing something that you wouldn't want your supervisor, or the taxpayers, to know about, you probably shouldn't.

Under no circumstances can you conduct a for-profit business using any County resources, including communications technologies.

Remember that there is no guarantee of privacy on any communications you make using County resources. Even though you access these systems through the use of a private password, please be aware that System Administrators have unlimited access to all County resources, and may have a compelling need to monitor your files. Even deleted emails are not beyond the reach of others. In addition, logs of outgoing telephone calls are run routinely and may be reviewed by your supervisor.

The sophistication of our many communication technologies guarantees that none of us are using them to full capability! In the Auditor-Controller's Office, we are committed to constantly increasing the skills of all our employees. Check the Employees' University (http://www.employeesu.com/index.asp) course offerings for classes in communication technologies and let your supervisor know of areas where you want to develop additional skills. Your co-workers can also be great teachers – feel free to swap tips about how to use the systems – and we have some very talented information technology (IT) people on staff who will be delighted to see you develop your abilities.

Telecommuting is available, with supervisor approval, to provide opportunities for IT staff to work from home periodically (or fix things when they are on vacation!). You

can review the County's official telecommuting policy at http://sbchome.co.santa-barbara.ca.us/HR/documents/telecom.pdf.

INFORMATION SECURITY

Due to the nature of the work performed in the Auditor-Controller's office, there is much sensitive information relating to payroll, human resources, retirement, property and other taxes, and other financial data handled by the office. This information is communicated in a variety of ways, including oral, written and electronic. Releasing this information to unauthorized parties could have harmful consequences for the County, including legal and disciplinary actions.

With issues such as the Health Insurance Portability and Accountability Act (HIPAA) and other laws coming to the forefront, we must protect our sensitive data to the best of our abilities. As an employee of the Auditor-Controller's office, you will receive training on HIPAA and how it affects this office from the Departmental HIPAA Officer. You can review the County's HIPAA Notice of Privacy Practices at http://www.gs-cares.com/pdf/PrivacyRights.pdf. For more information about HIPAA, contact the Departmental HIPAA Officer.

You will also receive general information security awareness training from the Departmental Information Security Officer. Each employee can do their part by being aware of information security, and following a few simple guidelines:

- Keep the building secure by not sharing keys or door codes
- Keep your workstation secure by locking your computer, storing confidential items securely, and shredding sensitive documents
- Use strong passwords for access to County systems
- Minimize personal use of e-mail and the Internet
- Scan external media (such as floppy diskettes) for viruses prior to use
- Notify the LAN Administrator of any viruses received via email, Internet, or other sources
- Talk to your supervisor about what information is sensitive and how to handle it appropriately

For further guidance or questions on information security, contact the Departmental Information Security Officer.

Please review and sign the attached Confidentiality Agreement and Employee Privacy Acknowledgement (see Appendices).

MEDIA REQUESTS

Any media requests for Auditor-Controller's Office information are to be referred to Bob Geis or Theo Fallai.

CONFLICT OF INTEREST

The Office of the Auditor-Controller has broad responsibilities that affect much of the population of Santa Barbara County. It would not be unusual for you to be processing a vendor payment for the company that employs your brother-in-law, or calculating the funds that will be allocated to your daughter's School District. However, as representatives of the Auditor-Controller's Office, we need to be independent in both attitude and appearance; the lines are fuzzy at times between what is appropriate and what is not. For this reason, you must inform your supervisor of any potential conflicts of interest and discuss any situations where you might be compromised in carrying out a work assignment. This will allow your supervisor to allocate work to alternative staff if necessary.

In addition, Santa Barbara County Civil Service Rule 17 requires written notification of any outside employment to your department head; the statement should include the name of the employer, the hours worked, and the nature and duration of employment. For more information, see the Civil Service Rules at http://www.sbcountyhr.org/staffing/csrules/index.html.

For more information about conflicts of interest regarding contracts and purchasing, see California Government Code 1090 (http://www.leginfo.ca.gov/calaw.html).

GRIEVANCE PROCEDURES

In the Auditor-Controller's Office, we believe all our employees should work in a pleasant atmosphere marked by mutual respect and trust. For these reasons, we have an Anti-Harassment Policy (see Appendices) that we take very seriously. This Policy addresses sexual harassment, and any other conduct of intimidating or personally offensive manner. It is an appendix to this document and suggests the steps you can take to resolve any situation of this type. In addition, there are many Civil Service procedures that are available to you if you feel you have been treated unfairly.

In general, we believe that the best resolution comes when problems are discussed and settled as informally as possible and as promptly and as closely as possible to the point of origin. For these reasons, please first discuss any problems with your supervisor. If there is some compelling reason why you can't, you may instead go to the Assistant Auditor-Controller or the Auditor-Controller. Your concerns will be handled promptly and confidentially.

SAFETY

We are pleased to have a good safety record in the Auditor-Controller's Office. Though we are not engaged in hazardous work, there are many things we each can do to contribute to a safe environment.

Be sure that you are comfortable when seated at your workstation. Your chair should provide good support, your keyboard should be at an appropriate level, and you

should not be too close to your computer monitor. If you are experiencing any bodily discomfort from the physical layout of your workstation, please discuss the situation with the departmental Safety Officer.

Never try to lift anything that causes strain. Remember to properly position your body whenever you are lifting anything. Please ask for assistance if you have to lift anything heavy in the office such as water bottles, chairs or boxes.

Be on the lookout for workplace hazards. Some of these hazards could include obstructions, broken or malfunctioning equipment, debris or puddles on the floor, or paper cutters with safety clasps unhinged. It is our mutual responsibility to keep ourselves and our co-workers safe from harm. Please take this responsibility seriously.

The County has compiled an extensive safety manual, which is on file in the Department. Feel free to borrow it for additional suggestions on safety practices.

FIRST AID

There are first aid kits containing emergency supplies throughout the Department. Please discover the first aid kit nearest your work area before the need arises. Promptly report to the Departmental Safety Officer, any on-the-job injury, no matter how slight.

EVACUATION AND FIRE DRILLS

In the event of required evacuation of the County Administration Building, those employees exiting from the door near the Help Desk are directed to the back stairwell to the left. Those exiting from the other three doors to the Auditor-Controller's Office are directed to the right, to the stairwell near the elevators. Both groups should proceed quickly to the Victoria Street entrance to the employee parking lot, where a roll call will be taken.

An evacuation map is posted on the employee bulletin board in the Break Room (see Appendices).

APPENDICES

CONTACTS

The following list details the positions mentioned in the Employee Orientation Manual, and who is currently filling them:

Administration:
Auditor-Controller – Bob Geis
Assistant Auditor-Controller – Theo Fallati
Departmental Administrator – Elaina Thanasko
Departmental Receptionist – Janet Tedeschi, Irene Cortez

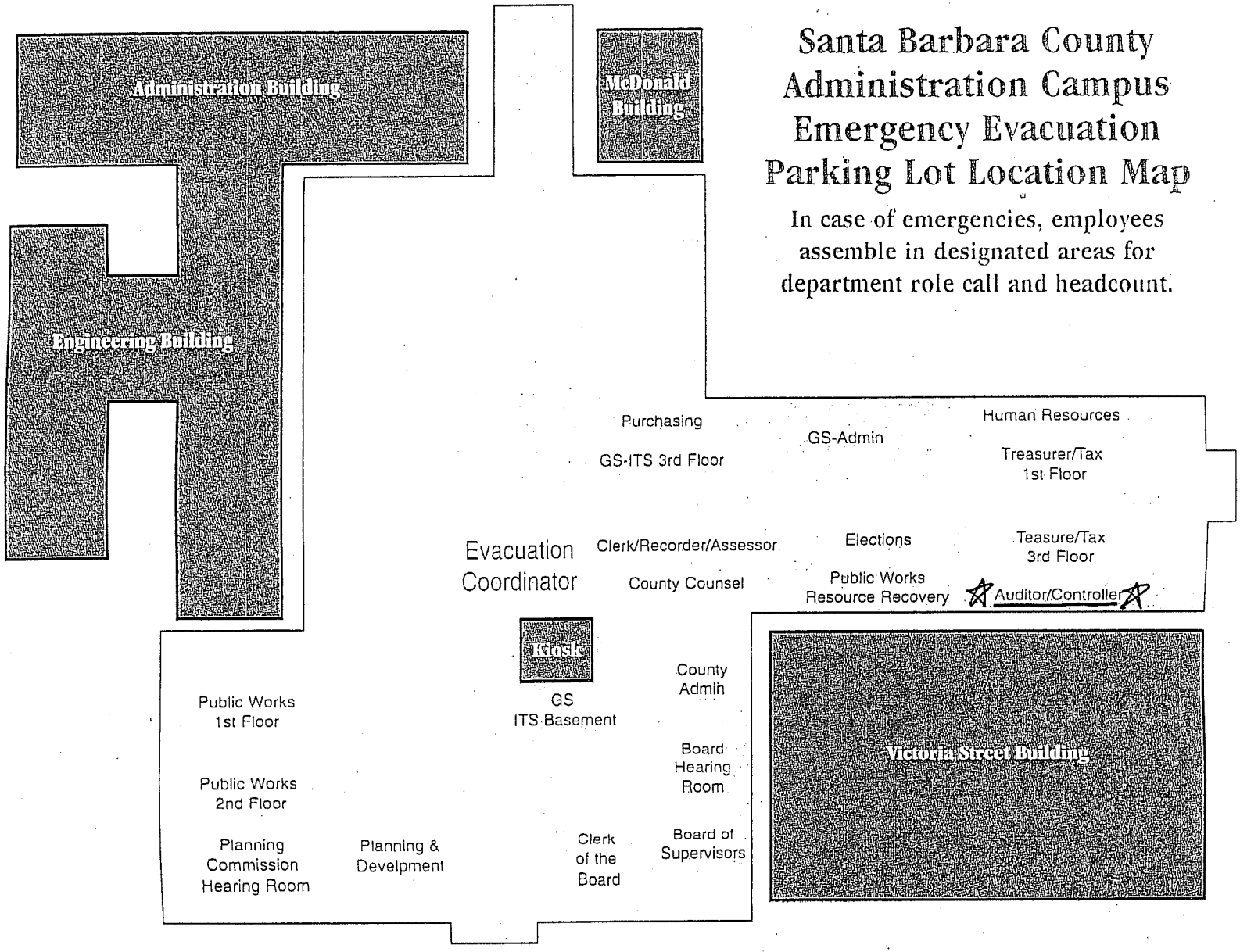
Special Officers:
Departmental Safety Officer – Elaina Thanasko
Departmental Information Security Officer – Mike Struven
Departmental HIPAA Officer – Elaina Thanasko
Departmental Payroll Clerk – Elaina Thanasko, Irene Cortez

LAN Administrator – Tim Manley

ANACAPA STREET

Santa Barbara County Administration Campus Emergency Evacuation Parking Lot Location Map

In case of emergencies, employees assemble in designated areas for department role call and headcount.



VICTORIA STREET

Anapamu Street

ANTI-HARASSMENT POLICY

The County of Santa Barbara's Auditor-Controller Office intends to provide employees with a positive work environment based on trust and mutual respect.

Sexual harassment, or any other conduct of intimidating or personally offensive manner, is strictly prohibited and will not be tolerated. No manager or supervisor may threaten that an employee's submission or rejection of sexual advances will influence wages, advancement, or any other term or condition of employment. No employee may engage in the sexual harassment of anyone with whom the employee must interact as job responsibilities are performed.

The Auditor-Controller's Office takes all claims of sexual harassment seriously and will promptly investigate all complaints, and will take the appropriate remedial action.

All complaints will be investigated, and handled in a sensitive and discrete manner.

Persons who are found to have engaged in sexual harassment will be subject to appropriate disciplinary action, up to and including termination.

It is the policy of Auditor-Controller's Office to have all employees complete sexual harassment training not only when they enter the Department, but on a biannual basis. This ensures that employees stay current and informed about what constitutes harassment. The training is completed in-house and records of course completion are maintained.

LAW AND POLICY

Federal laws prohibits employment discrimination on the basis of race, color, gender, sex (includes pregnancy and sexual harassment), age, national origin, religion, citizenship status, disability (mental or physical), Family and Medical Leave, and Vietnam era veteran/disabled.

California laws prohibit employment discrimination and harassment on the same basis as the federal government, and also includes ancestry, medical condition (cancer related), marital status, and sexual orientation.

The County of Santa Barbara prohibits its employees, volunteers, and contractor or vendor, male or female, to sexually harass another employee or volunteer by:

1. Making unwelcome sexual advances or requests for sexual favors or other verbal, visual or physical conduct of a sexual nature, a condition of an employee's continued employment;

2. Making submission to or rejections of such conduct the basis for employment decisions affecting the employee; or

3. Creating an intimidating, hostile or offensive working environment by such conduct that a reasonable person of the same gender would consider sufficiently severe or pervasive.

County management is committed to enforcing its sexual harassment policy at all levels within the County organization.

SCOPE

This policy applies to all elected, at-will, civil service and non civil service paid employees, and non-paid volunteers of the County, and contractors and vendors.

Employees include full-time, part-time, contractors on payroll, extra help, individual service contractors, and student and senior interns.

Paid and non-paid volunteers include those appointed to Board of Supervisors' and/or departmental advisory boards and commission, and departmental volunteers.

The above lists are not inclusive.

HARASSMENT

Definition

In the State of California, the Fair Employment and Housing act defines harassment because of sex, including sexual harassment, gender harassment, and harassment based on pregnancy, childbirth, or related medical conditions. The Fair Employment and Housing Commission regulations define sexual harassment as unwanted sexual advances, or visual, verbal or physical conduct of a sexual nature. This definition includes gender-based harassment of a person of the same sex as the harasser.

The following is a partial list:

1. Unwanted sexual advances;

2. Offering employment benefits in exchange for sexual favors.

3. Making or threatening reprisals after a negative response to sexual advances.

4. Visual conduct: leering, making sexual gestures, displaying of sexually suggestive objects or pictures, cartoons or posters.

5. Verbal conduct: making or using derogatory comments, epithets, slurs, and jokes.

6. Verbal sexual advances or propositions.

7. Verbal abuse of a sexual nature, graphic verbal commentaries about an individual's body, sexually degrading words used to describe an individual, suggestive or obscene letters, notes, or invitations.

8. Physical conduct: touching, assault, impeding or blocking movements

RETALIATION

Retaliation for sexual harassment complaints and/or cooperation in investigations is prohibited. Examples of retaliation include:

1. Any adverse job action to an employee taken as a direct result of participation in a complaint or cooperation in an investigation, such as demotion, suspension, loss of normal work assignments, and extension of probationary periods or creation of special non-merit-related probationary periods.

2. Intentionally pressuring, falsely denying, lying about or otherwise covering up or attempting to cover up retaliatory conduct.

The Auditor-Controller's Office is committed to a harassment-free workplace. Penalties for retaliation by supervisors and employees, volunteers and interns, and contractors and vendors who fail to demonstrate the appropriate conduct will have immediate and appropriate disciplinary action taken against them. This action may range from oral warnings to termination, whatever is sufficient to stop the inappropriate behavior and prevent its recurrence

FALSE CLAIMS

Filing false claims of harassment are prohibited and are subject to disciplinary action.

GRIEVANCE PROCEDURES

1. Complaints

   The County Affirmative Action Officer is the Chief Investigative Officer for sexual harassment issues. At least one employee in a confidential managerial position in each department or each work site also serves as an Investigative Officer for sexual

harassment complaints. In the Auditor-Controller's office, the Officer is Theo Fallati (x2102).

Complaints of acts of sexual harassment or retaliation that are in violation of the Sexual Harassment Policy will be accepted for investigation in writing. Verbal complaints will also be accepted. If the complaint is significant, a signed complaint form may be requested. In the event the complainant needs assistance in completing the complaint form, it may be requested from a Departmental Affirmative Action Coordinator, or the County Affirmative Action Officer.

Anyone who has observed sexual harassment or retaliation should take the responsibility to report it to an Investigative Officer or the County Affirmative Action Officer.

Should a complaint be brought against any member of the Board of Supervisors, elected official, County Administrator or County Affirmative Action Officer, the County will engage an outside third party investigator to ensure that the investigation is completely objective.

2. Confidentiality

Only those who have an immediate need to know, including Investigative Officers and/or their designees, the alleged target of harassment or retaliation, the alleged harassers or retaliators, and any witnesses, the County Affirmative Action Officer and County Administrator will be advised of the complaint.

3. Investigations

Each Investigative Officer will receive thorough training about sexual harassment and effective investigative procedures. All complaints will be investigated expeditiously by a trained Investigative Officer and his/her designee. The Investigative Officer will produce a written report to the County Affirmative Action Officer with findings of fact.

The Investigative Officer is authorized to recommend remedial measures to the department head or County Administrator based upon the results of the investigation, and County Management will promptly consider and act upon such recommendations.

Anyone has a right to file a complaint simultaneously with any of the federal and state regulatory agencies.

LOST OR DAMAGED COUNTY PROPERTY POLICY

ALL COUNTY PROPERTY LOSSES (INCLUDING CASH) MUST BE REPORTED

POLICY DESCRIPTION

In order for the County to handle property losses correctly, departments must notify General Services and the Auditor-Controller whenever such an event occurs. The procedures to follow and any potential recovery will depend on the type of loss and the estimated value of the loss. The Auditor-Controller must be notified of the loss in order to understand why the loss was incurred to determine if department controls over County assets are sufficient. The Auditor-Controller will also determine the financial impact of the loss for financial reporting purposes.

General Services/Risk Management must be notified in order to assist departments with potential insurance recovery for the loss. In general, the County purchases property insurance for all County owned buildings and contents. Each fiscal year departments are charged a property premium, to maintain this coverage. A $10,000 deductible applies to most losses; however, the deductible is subject to change and is contingent on the type of loss. Contact the Risk Management Department for the amount of the deductible that will be applied to the loss. Also, the applicable deductible is borne by the department incurring the loss; however, in the event of a catastrophic event other considerations will be examined in determining how the deductible may be applied.

The County procedures for reporting all property losses are as follows:

THEFT/PROPERTY DAMAGE

All property claims including but not limited to all perils, (e.g. flood, earthquake and fire) break-ins, thefts, disappearances, vandalism or malicious mischief should be reported to Risk Management and Auditor-Controller within 48 hours. The department must immediately notify the appropriate law enforcement agency and file a report for all thefts, break-ins and vandalism. In order to seek reimbursement for damaged or stolen property exceeding the deductible amount, the following information must be submitted to Risk Management and the Auditor Controller's Office within 15 days from the date of loss:

Theft/Vandalism

- Cover letter from the Department notifying Risk Management and Auditor-Controller of the details of the incident;
- Copy of the police/sheriff report;
- Copies of the original purchase orders and or invoices, reflecting the stolen equipment and its specifications and;
- Copies of the replacement purchase order(s), reflecting the account to be credited for reimbursement.

Property Damage

- Cover letter from the Department notifying Risk Management and Auditor-Controller of the details of the incident;
- Copies of the original purchase orders/invoice, reflecting the date of purchase, price and specifications of the damaged equipment and;
- Copies of the repair bills or replacement purchase orders/invoices.

AUDITOR-CONTROLLER PROCEDURES

The Auditor-Controller will investigate the incident and recommend corrective action, if appropriate, to prevent a recurrence. They will also perform such reconciliations as may be necessary to verify the extent of loss for possible reimbursement and/or reduction of the equipment inventory. A written report will be issued to the department and Risk Management.

RISK MANAGEMENT PROCEDURES

Upon receipt of the incident report, Risk Management will advise the department on the availability of insurance for the loss and, when necessary, Risk Management will submit the documentation that is provided by the department, to the insurance carrier requesting reimbursement for all the costs exceeding the deductible amount.

ADDITIONAL INFORMATION

- WARNING: late reporting of a loss may preclude the County from securing reimbursement of those costs from the insurance carrier.
- The department bears the costs incurred that are equal to or less than the applicable deductible for each occurrence.
- The department will be asked to address the ongoing security of County-owned equipment.
- Recommendations may be made to increase security. Any security improvements are made solely at the department's expense.

USE OF ACCURINT AND OTHER PERSONAL DATA SEARCH TOOLS POLICY

This policy addresses employee use of external "locate and research" databases, such as the "Accurint" system, in the operations of the department. This policy applies to all personal data search tools used by Auditor-Controller employees.

Violations of this policy may cause access to such databases to be immediately revoked. Additionally, other disciplinary actions may be used, up to, and including, employment termination.

ADMINISTRATION

Administration of Accurint user set up will reside in the Internal Audit Division. The Internal Audit Manager (or designee) will keep a list of those users that currently have access, limit users to those employees with a valid need and delete those users who no longer have a need.

POLICY

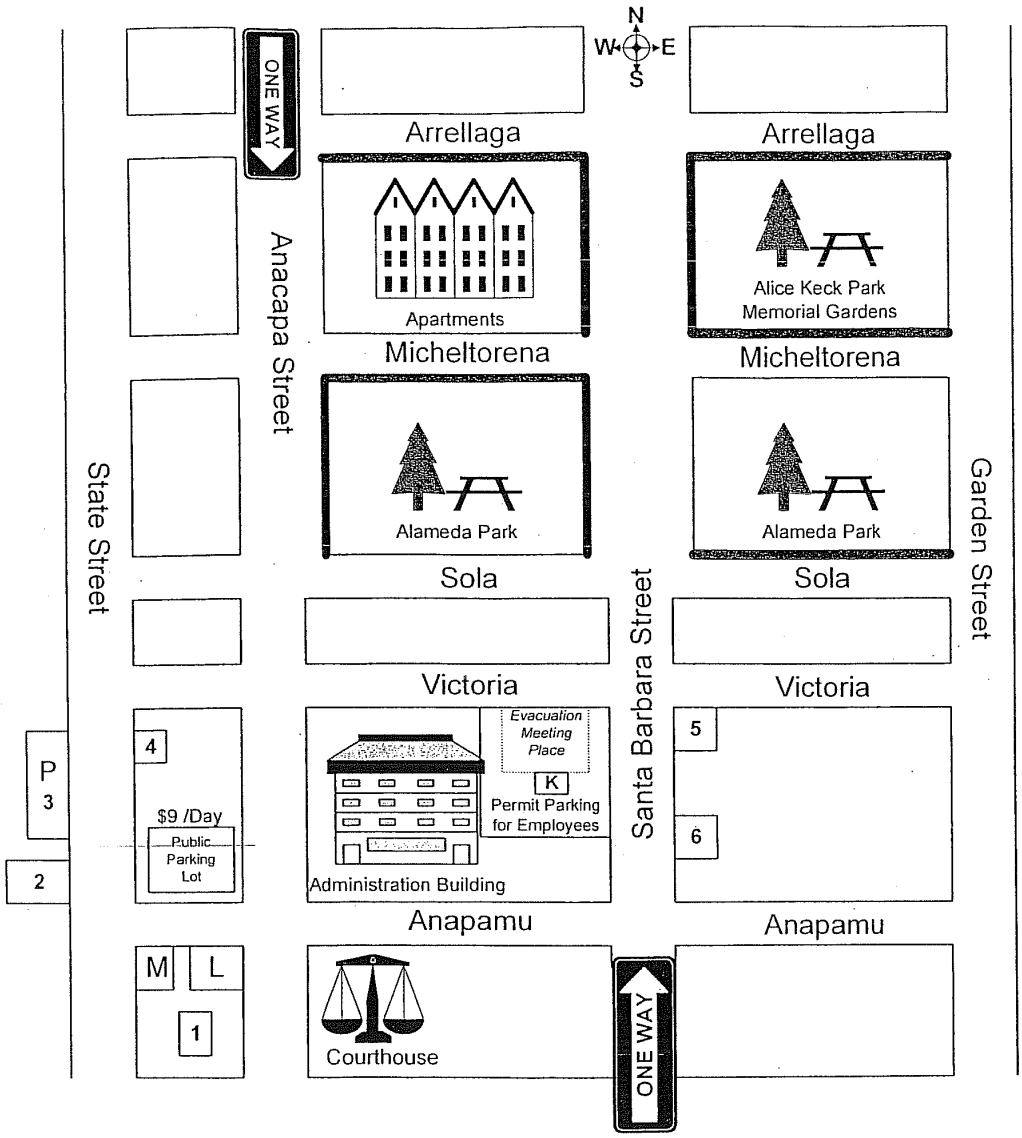
Access and use of databases containing confidential and otherwise sensitive information of the general public must be limited to those employees with a valid County-specific purpose.

1. Searches are permitted exclusively for approved Auditor-Controller purposes. Examples include: audits of departmental programs, reviews of operational processes, and person search for stale dated warrants (payroll and property tax refunds).
2. Searches of a personal nature are strictly prohibited; including searches of family members, spouses, ex-spouses, past and present acquaintances, work associates, or other relationships.
3. All information gathered during the search process is confidential and should remain confidential to the specific purpose of the search.

PROCEDURES

1. Access to databases will be on a case-by-case project need.
2. Authority for access to such databases will reside with the Internal Audit Division of the Auditor-Controller's Office.
3. Any person granted access to personal data search tools must receive proper training prior to use.
4. Care should be taken to limit search iterations to conserve fees charged by the service provider.
5. Unused, printed information must be shredded.
6. Retained print-outs must be secured from unauthorized access.
7. Access to databases will be terminated upon project completion and state regulatory agencies.

PARKING OPTIONS for SANTA BARBARA COUNTY PERSONNEL



Parking Legend (around Parks)

All Day Parking

75 minute parking

Landmark Legend

K Motor Pool Kiosk
L Library
M Museum
P Post Office

Restaurant Favorites:

1 Bogart's, Whale Tail, Acapulco
2 State & A
3 MacDonalds, Quizno's, Carl's Jr.
4 Santa Barbara Sandwich Shop
5 Presidio Market & Deli
6 Judge For Yourself

Parking Situation:

Currently, there is only one, small employee parking lot and that is by permit only (e.g. carpools). Available parking is on Santa Barbara public streets. Only certain sides of the three closest parks, Alameda and Alice Keck, are all-day, parking. Please note, however, that the other sides of the park are 75-minute, metered parking. In addition, all-day, free parking can be found on Garden Street and on side streets to the east of Garden.

TELEPHONE & VOICEMAIL USE

NOTE: If the action you want to perform is not listed below please refer to 188 of the County Telephone Directory for more detailed functions and how to perform them.

1. HOW TO GUIDE

A. TO CALL FORWARD ALL CALLS TO VOICEMAIL

1. Turn speaker on or lift handset
2. Press FWD-A or dial *0
3. Listen for confirmation tone
4. Dial 5550
5. Listen for confirmation tone
6. Turn speaker off or hang up

B. TO CANCEL CALL FORWARD – ALL CALLS

1. Turn speaker on or lift handset
2. Press FWD-A button or dial #0
3. Listen for confirmation tone
4. Turn speaker off or hang up

C. TO FORWARD - BUSY

1. Turn speaker on or lift handset
2. Dial *1
3. Listen for confirmation tone (if you receive a busy signal the line is already programmed)
4. Dial 5550
5. Listen for confirmation tone
6. Turn speaker off or hang up

D. TO CANCEL - BUSY

1. Turn speaker on or lift handset
2. Dial #1
3. Listen for confirmation tone
4. Turn speaker off or hang up

E. TO FORWARD – NO ANSWER (AFTER 4-7 RINGS)

1. Turn speaker on or lift handset
2. Dial *7
3. Listen for confirmation tone (if you receive a busy signal the line is already programmed)
4. Dial 5550
5. Listen for confirmation tone
6. Turn speaker off or hang up

F. TO CANCEL – NO ANSWER

1. Turn speaker on or lift handset
2. Dial #7

3. Listen for confirmation tone
4. Turn speaker off or hang up

G. TO OPEN A NEW MAILBOX

1. Dial x5550
2. Enter temporary password (assigned by Telephone Services; request from Office Manager)
3. Change the password
4. Record your first and last name
5. Record your greeting

H. TO CHANGE YOUR PERSONAL PASSWORD

1. Dial x5550
2. Enter password
3. Press 4-2-1-1
4. Passwords must be 5-15 digits

I. TO CHANGE YOUR GREETING

1. Dial x5550
2. Enter password
3. Press 4-3-1-2 then 1 (away from telephone) and/or 2 (for busy)
4. Both options can be recorded

J. TO RECORD EXTENDED ABSENCE GREETING

1. Dial x5550
2. Enter password
3. Press 4-3-2

K. TO CHANGE YOUR RECORDED NAME

1. Dial x5550
2. Enter password
3. Press 4-3-3

L. TO SEND A COPY OF A MESSAGE

1. After listening to a message you can send a copy to someone with a mailbox
2. Press 6 at the end of the message
3. Record introduction
4. Press #
5. Enter destination mailbox number (extension)
6. Press # - Then you may erase or archive as usual

I. Vehicle Operations and Use Policy

A. It is the County's policy (Administration of Vehicle Fleet; http://gscares.co.santa-barbara.ca.us/vehicles/scripts/policymanual.asp) to provide its employees with essential transportation that is safe, reliable and economical. Long-term assignment of motor pool vehicles to departments or individuals will be made when properly justified.

B. County policy (Employee Use of County Vehicles) states County employees should use County vehicles for all official automotive travel and every reasonable effort should be made to do so for safety and liability coverage. County departmental heads, assistant departmental heads, Board members, and Board assistants are permitted to use a private vehicle in order to reduce the number of vehicles owned and maintained by the County. Use of private vehicles by other employees should be on an exception basis only due to emergency, unavailability of County cars, and in special circumstances approved by the Department head.

C. Certain circumstances based on the County's policy, may involve personal expense for employees utilizing County vehicles.

1. Fines and Penalties levied for violation of state, County or city laws and ordinances for which the driver is responsible shall be paid by the driver.
2. Employees may be held personally liable for damage to County equipment, in addition to other penalties that may be assessed, if through negligence or in the course of illegal activities, damage occurs to a County Vehicle.
3. Employees may be held personally liable when they are outside of the course and scope of their employment and cause damage to other persons or property while driving a County Vehicle.

II. VEHICLE OPERATIONS

A. Automobiles.

1. Employees who operate a vehicle (private or County) must have a valid driver's license. Employees must exercise great care along with defensive driving practices, and must comply with all motor vehicle laws. Eating, drinking, and smoking are prohibited in County vehicles.
2. Any employee who appears to be under the influence of an intoxicating substance will not be allowed to operate a County vehicle.
3. Employees who drive County vehicles or use their personal vehicles on County business may be required to complete Defensive Driving Training, depending on their job duties and the requirements of their assigned department. The Certificate of Completion should be submitted to the Department IIPP Coordinator to be copied and placed in employee's training file.
    a. Some departments utilize specific driving requirements to meet department or other regulatory requirements. Please check with your supervisor for specific requirements for your department.
4. California Vehicle Code §27315 requires occupants of most vehicles to wear seat belts. For employee safety, per California law, all employees must wear seat belts while driving or as a passenger
5. No employee will drive a vehicle in an unsafe condition. County vehicles are maintained by General Services Department (GSD)/Vehicle Operations. An

employee using a Department assigned vehicle should make an appointment with GSD/Vehicle Operations for scheduled maintenance.

6. If any County vehicle exhibits anything that may be unsafe or requires unscheduled maintenance, contact GSD/Vehicle Operations and your supervisor. If any County vehicle breaks down or will not start, contact GSD/Vehicle Operations or as stated on the instructions in the vehicle's glove box and your supervisor.
7. All Departments have additional responsibility to:
    a. Administer the provisions of the County's Vehicle Policy.
    b. Develop department specific vehicle policies.

B. Cell Phone Usage

1. California Vehicle Code 23123 states A person shall not drive a motor vehicle while using a wireless telephone unless that telephone is specifically designed and configured to allow hands-free listening and talking, and is used in that manner while driving. The following exceptions apply:
    a. Emergency Exemption: The law permits a driver, regardless of age, to use a wireless telephone for emergency purposes, including, but not limited to, an emergency call to a law enforcement agency, health care provider, fire department, or other emergency services agency or entity.
    b. This section does not apply to an emergency services professional using a wireless telephone while operating an authorized emergency vehicle in the course and scope of his or her duties.

C. Motor Vehicle Accidents

1. County Policy (Employee Use of County Vehicles) states all accidents are to be reported to the appropriate law enforcement agency immediately, and a County Vehicle Accident Report (Attachment A) is to be completed and submitted to Vehicle Operations no later than the next working day. If no Vehicle Accident Report form is in the vehicle glove box, contact Vehicle Operations or Risk Management to obtain one.

    NOTE: Some departments have Department of Transportation (DOT) responsibility as well. Please see your supervisor for applicability of DOT or other regulatory requirements.

2. All accidents involving County vehicles are logged into the County's vehicle accident database by Vehicle Operations. Vehicle accidents are assigned an accident number and are categorized by "Accident Type" and "Accident Cause." Accident types and causes are determined by Vehicle Operations using information obtained from County vehicle accident reports, law enforcement reports, driver statements, witness statements as well as physical evidence. In the event that a vehicle accident "Cause" or "Type" is contested the accident will be thoroughly reviewed and a final determination will be made by the County's Risk Manager.
3. Any County employee determined to be at fault for a motor vehicle accident will be required to successfully complete a Defensive Driver's training course

within sixty (60) days of the accident or as soon as can reasonably be scheduled.

D. What To Do Immediately Following a Vehicle Accident

1. Stop your vehicle. Move the vehicle out of the road if safe to do so.
2. Call 9-1-1 to request law enforcement assistance or emergency medical services. Assist others who may be injured.
3. Complete the Vehicle Accident Report at the scene of the accident which includes securing the names of the other driver involved and any witnesses, noting direction of travel, weather conditions and a diagram of the accident scene. If you have a camera or cell phone with photographic capabilities then photographs of the vehicles involved and area of the accident are helpful. This information is crucial in all accident investigations.
4. Exchange driver's license, registration and proof of insurance information. Write down the license and policy numbers of all other drivers.
5. Do NOT discuss "fault" or make statements about the accident to anyone except to a law enforcement officer or County representative.
6. Secure the name/badge number of the primary law enforcement officer and a copy of the law enforcement report number.
7. If you hit a parked vehicle or other property, leave a note with your name and address securely attached to the damaged vehicle. Report the accident to law enforcement and Vehicle Operations/Risk Management.
8. Call GSD/Vehicle Operations and your Supervisor to report the accident.
9. While waiting for assistance, do not stand behind or next to your vehicle. If possible, stand away at a safe distance or stay inside the vehicle if possible with your doors locked and your seat belt on.
10. If you injure or kill an animal, call the nearest humane society or call the appropriate law enforcement agency. Do not try to move an injured animal or leave an injured animal to die.
11. You may be required to make a written report to the DMV within 10 days when there is more than $750 in property or if anyone was injured or killed. Your driving privilege may be suspended by the DMV if you do not make this report.

E. Safe Driving Practices.

1. Drive within the speed limit at all times. You should drive at speeds that are safe for the conditions, recognizing that, in some circumstances (such as rain or fog) this may be below the posted speed limit.
2. Never drive under the influence of medications or other drugs that are likely to affect your alertness or driving performance. Do not drive if you are unfit to do so. Contact your Supervisor if you are unsure about your fitness to drive.
3. Do not drive tired. Attempting to fight the signs of fatigue (such as winding down the window, turning up the volume of the radio) and continuing to drive is very dangerous.
4. Make sure that all passengers are secured by a seat belt before starting a vehicle.
5. Driving too fast or too slow can increase the risk of collisions.

6. Be alert and look for signs of impaired drivers around you. Notice if they are straddling the center line, weaving, making wide turns, stopping abruptly or responding slowly to traffic signals.
7. Do not follow too closely or tail gate other vehicles. Always use the "three-second" following distance as a minimum rule.
8. Avoid Aggressive Driving. Be patient and courteous to other drivers.
9. Observe night driving safety as soon as the sun goes down. Twilight is one of the most difficult times to drive because your eyes are constantly changing to adapt to the growing darkness.
10. If you have a tire blowout:
    a. Grip the steering wheel firmly and work your vehicle to an exit or off the side of the road
    b. Let off the gas to slow the vehicle. Do not slam on the brakes.
    c. It is safer to roll your car off the roadway than to stop in traffic and risk being rear-ended.
    d. Once off the road, turn on the emergency lights.

COUNTY OF SANTA BARBARA VEHICLE ACCIDENT FORM

PLEASE PRINT—Fill Out Immediately

COUNTY DRIVER

NAME OF EMPLOYEE (First, Middle, Last)		WORK PHONE NUMBER	
DRIVERS LICENSE NUMBER	RESTRICTION ON DRIVERS LICENSE; IF "NONE," SO STATE	LENGTH OF COUNTY SERVICE	AGE
DEPARTMENT	DEPARTMENT NUMBER	SOCIAL SECURITY NUMBER	
CHECK ONE: ☐ COUNTY EMPLOYEE ☐ OTHER (DESCRIBE)			
COUNTY VEHICLE NUMBER	VEHICLE LICENSE NUMBER	YEAR AND MAKE	MODEL
TYPE OF VEHICLE ASSIGNMENT ☐ PRIVATE ☐ POOL ☐ DEPT'L ☐ PERM (INDIVIDUAL)		PRESENT LOCATION OF VEHICLE ☐ IN OPERATION ☐ DGS GARAGE ☐ T/A GARAGE ☐ OTHER	
PURPOSE OF TRIP		DESCRIBE DAMAGE TO YOUR (COUNTY) VEHICLE	
DATE AND TIME OF ACCIDENT OR LOSS / / - : ☐ AM ☐ PM	LOCATION OF ACCIDENT	CITY	
LAW ENFORCEMENT AGENCY	DID INVESTIGATING OFFICER COMPLETE AN ACCIDENT REPORT? ☐ YES ☐ NO	ACCIDENT CASE NUMBER	
HAVE YOU COMPLETED THE COUNTY DEFENSIVE DRIVER PROGRAM? ☐ YES ☐ NO	DESCRIBE YOUR INJURY ☐ NONE		

OTHER DRIVER

NAME OF OTHER DRIVER VEHICLE #2	DRIVERS LICENSE NUMBER	PHONE NUMBER		AGE
STREET NUMBER AND NAME	CITY	STATE	ZIP	
REGISTERED OWNER OF VEHICLE (IF OTHER THAN DRIVER)	VEHICLE INSURED BY	INSURANCE POLICY NUMBER		
STREET NUMBER AND NAME	CITY	STATE	ZIP	
OTHER VEHICLE LICENSE NUMBER	YEAR AND MAKE	MODEL		
BRIEFLY DESCRIBE DAMAGE TO OTHER VEHICLE/PROPERTY	DESCRIBE OTHER DRIVER INJURY ☐ NONE			

OTHER INJURIES

INJURED PERSON'S NAME	AGE	PHONE NUMBER	
STREET NUMBER AND NAME	CITY	STATE	ZIP
DESCRIBE INJURY ☐ HOSPITALIZED ☐ DOCTOR	PASSENGER VEHICLE ☐ #1 ☐ #2 ☐ #3	PEDESTRIAN HIT BY ☐ #1 ☐ #2 ☐ #3	
INJURED PERSON'S NAME	AGE	PHONE NUMBER	
STREET NUMBER AND NAME	CITY	STATE	ZIP
DESCRIBE INJURY ☐ HOSPITALIZED ☐ DOCTOR	PASSENGER VEHICLE ☐ #1 ☐ #2 ☐ #3	PEDESTRIAN HIT BY ☐ #1 ☐ #2 ☐ #3	

WITNESSES

WITNESS NAME	PHONE NUMBER		
STREET NUMBER AND NAME	CITY	STATE	ZIP
WITNESS NAME	PHONE NUMBER		
STREET NUMBER AND NAME	CITY	STATE	ZIP
WAS WITNESS INFORMATION CARD COMPLETED? ☐ YES ☐ NO IF NOT, EXPLAIN			

GSD/RM-56 (Rev. 4/99)

IF YOU WERE DRIVING A PRIVATE VEHICLE ON COUNTY BUSINESS, ANSWER THESE ADDITIONAL QUESTIONS:

ARE YOU AUTHORIZED TO DRIVE A PRIVATE VEHICLE ON COUNTY BUSINESS? ☐ YES ☐ NO

WHERE MAY VEHICLE BE SEEN (SHOP OR ADDRESS)?	CITY
REGISTERED OWNER OF VEHICLE (IF OTHER THAN EMPLOYEE)	PHONE NUMBER

STREET NUMBER AND NAME	CITY	STATE	ZIP
VEHICLE INSURED BY	POLICY NUMBER		

COMPLETE AS SOON AFTER THE ACCIDENT AS POSSIBLE

CONDITIONS:
A DRY
B WET
C SNOWY/ICY
D SLIPPERY (MUDDY, OIL, ETC.)

WEATHER:
A CLEAR
B CLOUDY
C RAINING
D SNOWING
E FOG
F OTHER

ROAD SURFACE:

LIGHTING:

1. USE THE SYMBOLS BELOW TO COMPLETE THE DIAGRAM.
2. GIVE STREET NAME, DIRECTIONS, AND LOCATIONS OF OBJECTS INVOLVED.
3. SKETCH IN ANY OTHER SIGNIFICANT OBJECTS OR LANDMARKS.
4. PUT NORTH ARROW ON DIAGRAM → **N**
5. NUMBER EACH VEHICLE (MAKE YOURS #1) AND SHOW DIRECTION OF TRAVEL BY ARROW.

VEHICLE [#1] COUNTY VEHICLE (YOURS)
———— PATH OF VEHICLE BEFORE ACCIDENT
- - - - - - - - - - PATH OF VEHICLE AFTER ACCIDENT
VEHICLE [#2] VEHICLES (CAR, MOTORCYCLE, BICYCLES, ETC.)
ETC.

(S) STOP SIGN
SIGNAL
RAILROAD
X POINT OF IMPACT
P PEDESTRIAN

NARRATIVE EXPLANATION OF ACCIDENT
Please write legibly. Explain in your own words what happened, use extra pages if necessary:

I certify that the information in this report is to the best of my knowledge true and correct.

Date	Signature of County Employee:	Signature of Immediate Supervisor:

GSD/RM-56 (Rev. 4/99)

EMPLOYEE
PRIVACY
ACKNOWLEDGEMENT

I understand that while performing my official duties I may have access to protected health information. I understand that:

- Protected health information is individually identifiable health information that is created, maintained or used within the Auditor-Controller's office.
- Protected health information is not available to the public.
- Special precautions are necessary to protect this type of information from unlawful or unauthorized access, use, modification, disclosure or destruction.

I agree to:

- Access, use or modify protected health information only for the purposes of performing my official duties.
- Never access or use protected health information out of curiosity, or for personal interest or advantage.
- Never show, discuss, or disclose protected health information to or with anyone who does not have the legal authority.
- Never retaliate, coerce, threaten, intimidate or discriminate against or take other retaliatory actions against individuals or others who file complaints or participate in investigations or compliance reviews.
- Never remove protected health information from the work area without authorization.
- Never share passwords with anyone or store passwords in a location accessible to unauthorized persons.
- Always store protected health information in a place physically secure from access by unauthorized persons.
- Dispose of protected health information by utilizing an approved method of destruction, which includes *shredding, burning, or certified or witnessed destruction. I will not dispose of such information in wastebaskets or recycle bins.*

I understand that penalties for violating one of the above limitations may include disciplinary action, civil or criminal prosecution.

"I certify that I have read and understand the Privacy Acknowledgement Statement printed above."

Print Full Name (first, middle initial, last)	**Signature:**
Agency/Department	**Date Signed:**

CONFIDENTIALITY AGREEMENT

As an employee/associate of the Office of the Auditor-Controller, I understand that in course of this association, I may have access to information regarding the County, other governments (such as special districts), employees, contractors, vendors, taxpayers, residents and others. This information may consist of personal, protected health information (PHI), financial and proprietary information of various kinds that may be considered privileged and confidential. The information may be provided in various forms, including both oral and written. I also understand that I may be given keys, access codes, identification cards/badges, and other access tokens to provide access to various computer systems, facilities and County resources during my association.

I understand that unauthorized release of any information may harm the owner of the information, the Auditor-Controller's office and its employees, and the County, and may result in disciplinary actions. In addition, I understand that in some cases unauthorized release of information may violate specific privacy laws, such as HIPPA, and could result in fines or other punishments.

PRIVILEGED AND CONFIDENTIAL INFORMATION

I understand that the types of information accessible to me will vary based on my job duties and the division in the office that I am working in. I understand that the identification of privileged and confidential information, and to whom and how privileged and confidential information can be released, will be communicated to me by my division supervisor. I understand that some of this information cannot be released except under certain circumstances, and then only by following established procedures.

The following list contains examples of the types of information that are generally considered privileged and confidential:

1. Names, addresses, phone numbers, identification numbers or other identifying information, financial data, employment data, and health related data of
    a. employees of the County, or any other organization, processed within the Auditor-Controller department.
    b. taxpayers.
    c. clients receiving services from the County.
2. Financial information regarding other governments, vendors, and clients.
3. Access codes/combination codes to computer systems, vaults, and doors.

I understand that I cannot, during or after the term of my association, use for my own benefit or reveal to others, any of the above information except as allowed by law or established Auditor-Controller policy and procedure. I understand that, when in doubt, I should obtain guidance from my supervisor.

TERMINATION OF ASSOCIATION

I understand that upon termination of my association, regardless of the reason, I am required to promptly surrender all copies in my possession or control of:

1. Access codes, keys, identification cards/badges, and other tokens used to gain access to County facilities, computer systems and other resources.
2. Any County resources/devices issued to me such as portable computers, cell phones, pagers, etc.
3. Any memoranda, manuals, brochures, documents or documentation or material, regardless of media or form (paper, electronic or other) created by, issued to, or received by me relating from my association.

UNDERSTANDING AND AGREEMENT

I have read and understand the above statements and agree to follow them.

_____	_____	_____
Employee/Associate Name	*Signature*	*Date*

Relationship of Employee/Associate to Auditor-Controller (mark one):

- ❑ Regular Employee
- ❑ Temporary Employee
- ❑ Contractor
- ❑ Vendor
- ❑ External Auditor
- ❑ Other _____

Supervisor review (by Division Chief or higher level of management)
I have reviewed with this Associate the intent of this document, and the information protection and disclosure policies and procedures related to this Associate's function.

_____	_____	_____
Supervisor Name	*Signature*	*Date*

EMPLOYEE ORIENTATION MANUAL ACKNOWLEDGEMENT

I, _____, acknowledge that I have received a copy of the Auditor-Controller's Employee Orientation Manual and am familiar with the contents therein.

I understand that the Manual is for informational purposes only, and that it is not a contract for, or a guarantee of, employment or continuing employment.

I agree to follow the guidelines and policies contained in the Manual and any amendments to the Manual. I further understand that the Auditor-Controller has the right to revise the policies and procedures in this Manual at any time.

_____
Employee Name (please print)

_____
Employee Signature

_____
Date