



Audit of Facilities Management

Inspector General Department **Gary J. Cooney, Clerk of the Circuit Court & Comptroller** **Audit Report**

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Inspector General Department

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Board of County Commissioners

The review of the maintenance function of the Board of County Commissioners' Office of Facilities Management as scheduled in the Clerk's Annual Inspector General Audit Plan is complete.

We appreciate the cooperation and assistance provided by the Office of Facilities Management during the course of this audit.

Respectfully submitted,

Terri Freeman
Inspector General

cc: Gary J. Cooney, Clerk of the Circuit Court & Comptroller
Denise Bell, Chief Deputy Clerk
Jennifer Barker, County Manager
Fred Schneider, Assistant County Manager
Wesley Jones, Office of Facilities Management Director

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Scope and Objective

The objective of this audit was to assess the design of controls implemented by the Office of Facilities Management and test the controls to determine if they sufficiently mitigate the risk of exposure to losses due to failures of basic services or facilities. The following processes were included in the audit:

- a. Management Framework
 - Policies & Procedures
 - Roles & Responsibilities
 - Skills & Competencies
- b. Manage Assets
 - Preventative Maintenance
 - Inventory Management
- c. Manage Customer Service
- d. Manage Service Requests, Incidents, and Problems
 - Uncomplicated
 - Complex

In order to meet the audit objective, from February 1, 2022 through April 30, 2023:

- Interviews were conducted with Facilities Management customers including the Lake County Jail, Animal Services, County and Clerk IT, and the Clerk Evidence department, which have significant environmental risks that could lead to injury to people and animals or damage to high value assets and evidence
- Surveys were administered to technicians who work in facilities, energy management, and the County Jail
- Interviews were conducted with all the Facilities Management contract specialists
- Transactions were reviewed in the work order management software (i.e., Archibus)
- Relevant processes were observed

Overall Conclusion

Overall, controls are well designed and working as intended.

Action plans to address opportunities for improvement—which were identified collaboratively with management in alignment with the department’s goal of providing excellent customer service—are included at the end of this report.

The following controls are functioning as intended based on the testing results:

- 1. **Management Framework:**
 - a. **Roles & Responsibilities:** 100% of maintenance technicians interviewed have a good understanding of their current responsibilities.
 - b. **Skills & Competencies:** 100% of Energy Management employees have valid, required certifications.

2. **Manage Service Requests, Incidents, and Problems (Uncomplicated):** Customers from 17 of 170 (10%) facilities in Facilities Management scope of service were interviewed.
 - a. **Customer Service:** 100% of respondents are pleased with service by BCC staff for uncomplicated situations.
 - b. **Prioritization:** 94% of respondents believe work orders for uncomplicated situations are prioritized appropriately.
 - c. **Thoroughness:** Overall, respondents feel uncomplicated situations are addressed quickly and thoroughly.
3. **Manage Assets – Inventory Management:**
 - a. Each technician's vehicle is stocked with tools and small parts that they are responsible for and must secure to avoid theft and weathering.
 - b. Technicians can buy tools and equipment for up to \$50 with their Purchase Card (PCard) but must get a supervisor's prior approval for a purchase greater than that amount. All PCard purchases are reviewed and approved by management once PCard statements are received from bank to ensure they are valid.
 - c. Work orders are managed through Archibus. Inventoried parts used for work orders are entered in Archibus and are charged to specific work order numbers that supervisors review and approve.

Background

The mission of the Office of Facilities Management is to support County goals and objectives by developing and maintaining well planned, attractive, and high quality County facilities in a manner that assures longevity, cost effective energy efficiency, and quality through professional customer service.

Facilities Management provides repair and maintenance services to over 170 County facilities, totaling 2,266,659 square feet, to include contracted maintenance such as fire safety, pressure washing, pest control services, custodial, and lawn maintenance contracts.

Facilities manages their workload by use of Archibus. Archibus is an integrated workplace management system software that helps efficiently manage work orders. Department staff input issues into the system, which are routed to Facilities and manually prioritized. Archibus has status update and data analytic functionalities, which will help Facilities better understand problems and meet customer needs.

Opportunities for Improvement

1. Manage Assets - Preventative Maintenance:

Clerk IT management has to notify Facilities Management when their server rooms get overly hot and the BCC server room should be maintained at five degrees cooler than it is currently, according to BCC IT management. These situations pose the risk of delays and damage to assets leading to customer concern.

Agreed Upon Action Plan: Meet with the Clerk CIO and BCC IT Director to create Service Level Agreements to ensure the appropriate environmental controls and service levels are in place to mitigate the risk of exposure to losses due to failures of services, equipment, or facilities.

After Facilities meets with the IT departments, management will determine if Service Level Agreements would benefit other areas with high environmental risks such as the Lake County Jail, Animal Services, and the Clerk Evidence department.

Target Completion Date: October 31, 2023

2. Manage Customer Service

No customer satisfaction data is available to determine the department's performance and to monitor for trends or anomalies to gain insights for process improvements and provide support for budgetary needs. There is a risk the department will fall short of their objective to deliver exceptional customer service.

In the limited customer survey data gathered during this audit from a judgmental sample of 17 of 170 (10%) facilities maintained by Facilities Management— including the five facilities with the most significant environmental risks— the following issues were identified:

- a. **Communication:** 53% of department staff interviewed reported communication issues of which the majority related to work order status.
- b. **Recurring Problems:** 47% of department staff interviewed said they have recurring problems, half of which cited air conditioning issues.
- c. **Software:** 41% of department staff interviewed identified issues with Archibus functionality and inefficiencies of service.

Agreed Upon Action Plan:

- a. Facilities Management investigated the work order system and found that a functionality that assists with the communication of status updates to customers was inadvertently turned off so it was turned on. Additionally, the Facilities Director will continue to provide training to the maintenance technicians to provide updates while they are in the field performing maintenance. Completed.
- b. This issue will be partially addressed by a major HVAC systems control upgrade currently underway to replace outdated components from the 1980s and 1990s. Management will implement a customer survey process to identify and address other recurring problems and inefficiencies in Archibus processes by **September 15, 2023 (90 days)**. Also, see action plan for item 3.
- c. Management will provide training to staff on the use of Archibus by **September 15, 2023 (90 days.)**.

3. Manage Service Requests, Incidents, and Problems - Complex

Work order data gathered in Archibus is not utilized to determine whether requests are addressed adequately, completely, or timely and to identify trends or anomalies that can provide insights for process improvements. There is a risk that preventable issues will recur or worsen leading to the department not achieving its goal to deliver exceptional customer service.

Agreed Upon Action Plan:

Facilities Management will begin monitoring the system for trends, beginning with generating work order aging reports and average time of responsiveness.

Target Completion Date: September 15, 2023 (90 days)

4. Management Framework - Policies and Procedures

The work order process is not formally documented. There is a risk that institutional knowledge regarding this critical process will be lost, which could lead to unnecessary operational delays and financial errors.

Agreed Upon Action Plan: Develop work order SOP

Target Completion Date: September 15, 2023 (90 days)