FACILITIES MANAGEMENT

CUSTOMER RELATIONS

AUDIT REPORT #19-2001

Audit & Advisory Services

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# Background

In accordance with the UCLA Administration fiscal year 2018-19 audit plan, Audit & Advisory Services (A&AS) conducted a review of business practices for processing work orders and operating procedures associated with the Trouble Call Center and Customer Service unit within the Facilities Management (FM) department. The Trouble Call Center and Customer Service unit are both part of the Customer Relations cost center within FM.

FM department personnel support UCLA’s mission by providing a variety of services to maintain and enhance buildings, grounds, and the physical infrastructure of the University. Work orders are the fundamental documents that are generated by FM to initialize, assign, and track the various categories of projects that are performed by its departmental units.

Work orders are created and posted into the department’s MAXIMO system and carry a unique seven-digit numeric bar code that allows labor and materials costs to be accumulated and then associated with a particular job number. Each job has a specific alphanumeric number that links a work order and its associated expenses with the University’s General Ledger. Any job can have one or multiple work orders associated with it, depending on the complexity of the project.

FM Customer Relations is comprised of the Trouble Call and Customer Service units. State-funded work order requests are handled by Trouble Call personnel, while customer-funded Facilities Service Requests (FSRs) are handled by Customer Service staff. Additional services performed by Trouble Call staff include creating work orders in response to emergencies and alarms, distributing utility outage notifications, and issuing keys to employees who may need access to various campus locations.

The Trouble Call unit is headed by the Customer Relations Manager and is staffed with eight dispatchers. During fiscal year 2017-18, the unit managed 40,091 work orders.

Purpose and Scope

The primary purpose of the review is to ensure that Customer Relations’ organizational structure and controls related to the management of trouble calls and customer service functions are conducive to accomplishing its business objectives. Where applicable, compliance with campus and University policies and procedures were also evaluated.

The scope of the audit focused on the following Trouble Call Center activities:

* Emergency Response
* Alarm Monitoring
* State Funding and Billing
* Outages
* Keys

The review was conducted in conformance with the *International Standards for the Professional Practice of Internal Auditing* and included interviews, tests, and other procedures considered necessary to achieve the objective.

# Summary Opinion

Based on the results of the work performed within the scope of the audit, the Customer Relations organizational structure and controls are generally conducive to accomplishing its business objectives related to trouble call activities. However, controls and business practices could be further strengthened by implementing the following:

*Emergency Response*

* Management should ensure that review of trouble call procedures contained within the Disaster Initial Response Team (DIRT) manual is documented and dated so that management and staff are aware of when the latest review was performed and updates can be made timely.

*Alarm Monitoring*

* Management should consider using a log to track when high voltage alarms are activated so that the timeliness of response can be monitored and evaluated.

*Keys*

* Management should ensure that Trouble Call unit personnel review key log entries for completeness prior to keys being issued. The completed key log entry should include the employee’s initials whenever a key is issued and returned to maintain individual accountability. Accurate and complete logs help to safeguard keys against loss and unauthorized use.

The audit results and corresponding recommendations are detailed in the following sections of the report.

Audit Results and Recommendations

Emergency Response

Meetings were held with Customer Relations personnel to obtain information and an understanding about emergency response procedures and training of Trouble Call employees. The trouble call section of the DIRT manual was also reviewed for adequacy. In addition, the Trouble Call unit's Emergency Contact list was examined and each employee’s status was verified as active in UCPath. The types of employee training courses and their frequency were also discussed with management.

*Emergency Response Procedures*

The trouble call section in the DIRT manual includes emergency contact information, alarm system operation, alarm prioritization, and other emergency topics. The emergency contact list includes all active employees.

Testing of the emergency plan/procedure is performed by the UCLA Emergency Management Department. A phone/text system is used to notify key contacts and requests acknowledgement of an emergency message. Testing is performed, but the Trouble Call Center is not responsible for the testing.

An informal review of the trouble call section of the DIRT manual is performed annually by Customer Relations management and staff, however; the internal review is not documented and the last update to trouble call procedures appears to have been back in September 2009.

Recommendation: Management should ensure that review of trouble call procedures contained within the DIRT manual is documented and dated so that management and staff are aware of when the lastest review was performed and updates can be made timely.

Response: Trouble Call Center employees will review the DIRT manual annually during a staff meeting and retain the signing sheets for verification.

*Training*

Trouble Call employees complete the following types of training:

* On-the-job training once they begin their employment
* Refresher training at least annually
* DIRT training when available

The last refresher training was provided on April 18, 2018, and all  trouble call dispatchers participated. The refresher training included CPR, first aid, fire extinguisher use, and building evacuation. Participants also reviewed phone calls and responses, and completed mock exercises.

The Trouble Call Manager completed all DIRT-related training courses (i.e., CPR, First Aid, Search and Rescue, etc.) and as a DIRT member, physically responds to emergencies. Trouble Call dispatchers may take DIRT training when it is offered, but currently do not physically respond to emergencies.

There were no significant control weaknesses noted in this area.

Alarm Monitoring

Discussions were held with Trouble Call management and staff to obtain information about alarm monitoring and dispatch. Alarms monitored by the Trouble Call unit include Keltron (supervisory, fire, smoke), DDC (refrigeration, water bug/leak), and high voltage. Alarm listings were requested from July 2018 - December 2018. If no alarm information was available in that timeframe, alternate time periods were selected for audit testing. A judgmental sample was selected for each type of alarm, and the alarm and dispatched date/time was reviewed to verify the timeliness of response.

*Keltron Alarms*

A&AS selected a sample of 30 activated alarms directly from the Keltron Alarm History Report screens and reviewed work order information for each sample item.

Based on the test work performed, responses were dispatched timely by trouble call dispatchers for those alarms requiring dispatch. The majority of Keltron alarms do not require dispatch because they are false alarms. For the one Keltron alarm tested that required dispatch, A&AS verified that a work order was created timely by the trouble call dispatcher in response to a smoke alarm being activated.

*DDC Alarms*

Management was unable to provide DDC alarm information from July 2018 – December 2018, because system reporting is limited to the most recent 90-day period. Instead, management provided DDC alarm data from January 10, 2019 – April 25, 2019. After review, management stated that 99% of the notifications were false alarms (e.g., when a freezer is opened and not closed immediately) and that there were only two alarms that required dispatch (one water bug/leak, and one refrigerator) from the data available. Alarm and work order information was reviewed for the two alarms that required dispatch. DDC alarms appeared to be dispatched timely. In addition, for the two DDC alarms that required dispatch, A&AS verified that the work orders appeared to be created timely by trouble call dispatchers.

*High Voltage Alarms*

According to Trouble Call staff, the high voltage alarm is audible and also appears as a green light on the High Voltage indicator panel located in the Trouble Call office. In the event that an alarm is received, a dispatcher would contact the Facilities Management Electrical Shop to confirm whether a work order (dispatch) is required. Management indicated that there was only one high voltage alarm from the current fiscal year 2018-19, that required dispatch, but the date and time of the alarm was not available. Also, management stated that there is no log used to track high voltage alarms since they only receive one or two per year. Because of the lack of alarm date/time information available, A&AS was unable to verify whether the high voltage alarm was dispatched and responded to timely.

Recommendation: Management should consider using a log to track when high voltage alarms occur, so that they can monitor the timeliness of response and assign accountability to staff for their performance.

Response: A log sheet has been placed near the alarm panel and a workorder is created in Maximo any time there is an event. The workorder contains all information related to the event such as date, time, and who if anyone from FM responded.

State Funding and Billing

A&AS met with Customer Relations management and staff to discuss State funding and billing of work orders. Trouble Call work order data from July 2018 – December 2018, was reviewed, and data analytics was performed to identify the volume of work orders by campus location. Data was filtered and sorted to identify the locations with the highest volume of work orders. A judgmental sample of 15 work orders was selected and A&AS reviewed whether the locations listed were at least 50% state fundable according to the department’s Building Fundability Profile. Billing procedures were discussed with Customer Relations Assistant Manager and Fund Accounting Manager to confirm that all state-funded jobs are charged to General Ledger Accounts that start with “MX” and that state-funded work orders are properly charged when the majority of the location percentage is listed as state fundable in the Building Fundability Profile. All 15 work orders that were paid for using state funds were properly charged in the maintenance of state-fundable buildings.

There were no significant control weaknesses noted in this area.

Outages

Outage notifications are requested for routine outages, such as generator tests, and emergency outages, such as for repairs. The requesting party prepares the notification message and then selects the intended recipients of the outage notification. Trouble Call personnel send draft outage notification emails to selected campus contacts (e.g., building coordinators) to coordinate the timing of the scheduled outage. If there are no issues with the timing of the outage, a final outage notification is emailed to affected individuals/departments, which replaces the draft notification.

Discussions with Trouble Call personnel were conducted to verify whether staff appropriately performed the following functions:

* coordinate all logistical aspects of scheduling planned and emergency utility outages with the appropriate campus contacts and contractors,
* investigate the effect of the outage on campus clients and coordinate dates and times of outages to minimize the impact to academic and research programs and equipment, and
* coordinate the distribution of written notification to affected Building Coordinators, FM, UCPD, and others to ensure adequate measures are taken to protect building systems research projects, and sensitive equipment.

A&AS reviewed all 391 outage notifications from July 2018 – December 2018, and identified all non-routine outages. A judgmental sample of 10 non-routine outage notifications were selected and draft notifications were requested for audit review. Because management does not retain draft notifications, final outage notifications were provided as an alternative to A&AS for review. For the selected sample, A&AS reviewed the "Notified List" to verify whether appropriate contacts were notified, based on the type of outage and location. An additional analysis was performed to determine the consistency of which skilled labor shops (i.e., electrical, plumbing, carpentry) receive the outage notifications.

Based on the test work performed, all 10 outage notifications appeared to be properly coordinated by Trouble Call personnel, and final notification emails appeared reasonable. A&AS verified that the Trouble Call unit properly coordinated the distribution of written notifications to affected individuals/departments (e.g., building coordinators, facilities, maintenance, custodial).

There were no significant control weaknesses noted in this area.

Keys

There is a lock box located in the Trouble Call office containing 113 keys that employees check out to access areas around the campus (e.g., warehouse, tool crib, etc.). Many of the keys require authorization, which is based on information provided on the Trouble Call Lock Box Keys list ("Authorization" column). Initials of Trouble Call personnel in the "Time In" column indicate that proper authorization was provided. Highlighted items on the Lock Box Keys list identify more sensitive keys, such as Chancellor’s office, vehicles, Cogeneration Plant, which require a higher level of authorization. Emails, phone calls, and in-person authorization are accepted methods.

A&AS reviewed key logs from July 2018 – December 2018, to determine whether proper authorization was provided prior to the issuance of keys. Entries on the key log were manually counted to identify the number of entries requiring authorization and entries that did not have evidence of authorization (initials of Trouble Call employees). A&AS also identified entries with missing key ring numbers and names.

Of the 501 entries that required authorization, 121 (24%) lacked evidence that authorization was obtained prior to issuing keys. In addition, five entries were missing the key ring number and one entry was missing the name of the person who checked out a key. Trouble Call personnel are required to initial the key log to confirm that authorization was provided prior to issuing a key, and to also initial the log when a key is returned. By not having complete log entries, effective key oversight is compromised. In addition, management cannot confirm whether a particular key was properly authorized prior to issuance, who checked out and has possession of a key, which employee issued the key, and whether or not the key was returned upon use.

Recommendation: Management should ensure that Trouble Call personnel consistently review key log entries for completeness prior to issuing keys, and initial the key log when keys are issued and returned so that individual accountability can be maintained. Accurate and complete key logs help to safeguard University assets against loss and unauthorized use.

Response: The Key Log has been updated and team members have been reminded of possible disciplinary action if the policy is not followed.

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