



**Office of the City Auditor**

---

**Report to the City Council  
City of San José**

---

**STATUS OF OPEN AUDIT  
RECOMMENDATIONS AS OF  
JUNE 30, 2021**

---

**September 2021**

**This page was intentionally left blank**

September 17, 2021

Honorable Mayor and City Council  
City of San José  
200 E. Santa Clara Street  
San José, CA 95113

## **STATUS OF OPEN AUDIT RECOMMENDATIONS AS OF JUNE 30, 2021**

### **RECOMMENDATION**

We recommend the City Council accept the Status of Open Audit Recommendations as of June 30, 2021.

### **SUMMARY OF RESULTS**

The City Auditor's Office monitors progress toward implementing audit recommendations and reports on the status of all recommendations every six months. City staff implemented or closed 45 recommendations since the last update.

Over the past 10 years, the Administration has implemented 72 percent of all recommendations made by the Auditor's Office (target: 80 percent). 227 recommendations remain pending, the majority of which have been partly implemented.

Attached to this report is a summary table of all recommendations by report over the past 5 years (Appendix A) and details of the 272 audit recommendations from our review as of June 30, 2021 (Appendix B).

**272** recommendations in this report  
**22** were issued in new reports  
**45** implemented/closed since last update  
**227** partly or not implemented  
**\$11 million** potential budget savings or efficiency gains  
**72%** of audit recommendations made over the last 10 years have been implemented or closed

---

## Twelve Priority Recommendations

Per direction of the City Council, the Administration, in coordination with the City Auditor's Office, identified twelve open audit recommendations to prioritize, while continuing to make progress on implementing or closing out other open audit recommendations.<sup>1</sup> The current audit recommendation priorities (categorized by intended benefit, and listed with target dates) are:

### Potential budgetary savings/revenue generation

- Reduce Police Department comp time balances (*Audit of Police Overtime*, 2016)

The number of sworn employees with comp time balances over 240 hours has increased from 410 at the time of our audit to 723 as of July 1, 2021; the liability for compensatory time has increased from \$13 million to \$27 million. In May 2021, the Department issued a memo reminding staff of the requirement to bring their comp time balances back to the 240-hour maximum level by the end of the calendar year in accordance with the Memorandum of Agreement with the Police Officers Association. However, the Department reports that due to low staffing levels, time off is limited for sworn staff in patrol, and therefore, they may not be able to meet this requirement.

Recommendation #1608-10 target date: July 2022 (delayed from March 2018).

- Obtain more favorable contract terms from golf course operators (*Audit of Golf Courses*, 2015)

The FY 2020-21 Adopted Operating Budget included the payoff of the outstanding debt related with the Los Lagos Golf Course. With the payoff of the debt, the Parks, Recreation and Neighborhood Services Department (PRNS) plans to bid all three municipal golf courses in an RFP in 2022. Recommendation #1508-01 target date: December 2022 (delayed from December 2018).

- Procure software solution and sufficient supervisory staff to support wage compliance review (*Audit of the Office of Equality Assurance (OEA)*, 2017)

OEA has pursued a combination of strategies to better administer the prevailing wage and living wage compliance program, including piloting a software platform to automate payroll reviews, receiving electronic payroll files (previously these were hard copy documents), using Office 365 tools to manage workflow, and using Smartsheet to develop dashboards to track infractions and violations in real time. OEA has also increased its supervisory capacity with the hiring of a Senior Analyst in July 2021. Unfortunately, the pilot for automatic payroll reviews was not successful in meeting OEA's needs and PW is looking

---

<sup>1</sup> In June 2018, the City Council approved the *2018-19 Open Audit Recommendation Priorities* (<https://sanjose.legistar.com/LegislationDetail.aspx?ID=3512937&GUID=A59AA751-4DB2-4759-BE3A-03E8B26DB47F&Options=&Search>). To date, six of the original twelve priority recommendations have been implemented.

at additional options to manage payroll reviews or free staff up for site visits and other work. Recommendation #1702-01 target date: June 2022 (delayed from June 2018).

### **Operational efficiency**

- Contract management policies (*Audit of Consulting Agreements, 2013*)

The Administration executed an amended service order in 2020 with a consultant to develop recommendations on process improvements for consultant procurements across various City departments, prepare an administrative policy document on procuring consulting services, and conduct training on the new policy. This information is expected to be used to establish a City policy for procuring consultant services and develop training materials. However, due to the COVID-19 emergency response, this has been put on hold as the CMO prioritized emergency response activities. Recommendation #1306-09 target date: December 2021 (delayed from June 2018).

- Volunteer program guidelines (*Audit of the City's Use and Coordination of Volunteers, 2016*)

The Administration has created a draft volunteer policy and volunteer management guide. A cross-departmental working group was established in March 2018 to review and add to the draft. The draft policy is in final review. Staff delayed final approval to allow time to incorporate volunteer protocols related to Citywide efforts such as BeautifySJ. However, due to the COVID-19 emergency response, this has been put on hold as the CMO prioritized emergency response activities. According to the Administration, work on the outstanding recommendations from the volunteer audit will be prioritized this year. Recommendation #1603-03 target date: December 2021 (delayed from June 2019).

- Develop Technology Deployment Policy (*Audit of Technology Deployments, 2019*)

The Information Technology Department (ITD) developed a new Technology Management and Deployment Policy (CPM 1.7.2), which requires project charters for projects meeting certain standards of cost, duration, complexity, and sensitivity. Each of these projects must include a definition of roles and responsibilities in the charters, as well as a project sponsor, product owner, and products-project manager. Charters must also have a detailed and agreed-upon work breakdown and resourcing estimates based on the project approach, including staffing and timing, depending on the complexity of the initiative. Finally, the policy formalizes the role of ITD in reviewing/approving charters and overseeing formal project management, and addresses other recommendations from the audit. Recommendation #1910-04  
IMPLEMENTED

## Improved service delivery

- SJFD public education (*Audit of Fire Prevention, 2013*)

The Fire Department's Strategic Business Plan includes goals to expand community partnerships and promote public education, and the Department has undertaken various activities to promote and install smoke detectors. The Department also hired a Public Information Manager and a Video/Multimedia Producer. In addition, an internal Public Information Advisory Committee was formed in 2020. In FY 2020-21, the Public Information Manager developed an annual workplan in partnership with the Fire Chief to ensure timely and consistent public messaging that covers a wide range of fire safety topics.

Recommendation #1304-19 IMPLEMENTED

- Housing Department outreach to tenants and landlords (*Audit of the Apartment Rent Ordinance, 2016*)

The Housing Department has provided additional outreach to tenants and landlords explaining ordinance updates, updated its website, made communications available in multiple languages, received approval to accept petitions online, and created an interactive map that allows the public to look up addresses covered by the Apartment Rent Ordinance. To assist visitors at City Hall, Housing has begun staffing its front desk on the 12<sup>th</sup> floor and is in the process of installing a tablet with an electronic staff directory (including translated versions) for visitors. Staffing the lobby on the 12<sup>th</sup> floor is expected to continue through June 2022. Recommendation #1610-03 IMPLEMENTED

- Update Police Activities League (PAL) agreement (*Audit of the San José Police Activities League, 2018*)

PRNS, the Police Department, and the City Manager's Office have worked to identify alternatives to the service delivery model in place at the time of the audit. In February 2020, the City Council approved PRNS to move forward with PAL on a hybrid PAL/PRNS governance structure. In January 2021, the City Council approved guiding principles for the new operating model. Using these guiding principles, staff intends to negotiate a contract that details PAL operations and performance measures. Recommendation #1802-01 target date: December 2021 (delayed from Fall 2019)

## Citywide security/risk mitigation

- Improving lease management, including updating expired leases (*Audit of the City's Oversight of Financial Assistance to Community-Based Organizations, 2008*)

The Office of Economic Development (OED) has brought all current leases up to date. Another part of this recommendation has been closed, because it was superseded by the 2021 Audit of Real Estate Services. In order to build a comprehensive City-wide real estate inventory with lease management, property management, and GASB-87

reporting capabilities, the Real Estate Services division is partnering with the Finance Department and ITD on a request for proposals for a real estate asset management software platform. Recommendation #0804-11 IMPLEMENTED/CLOSED

- Revise procurement card policy (*City Procurement Cards: Policies Can Be Improved*, 2010)

At the time of our 2019 Audit of Procurement Cards (p-cards), the City had been spending roughly \$14 million annually through City-issued p-cards. The Finance Department is working on revising the City Procurement Cards policy (Section 5.1.2 of the City Policy Manual), dividing the policy into two parts: a high-level administrative policy and a detailed p-card administrative guide. Both documents are currently in outline/draft form and under review. This revision will address multiple open audit recommendations to ensure the ongoing appropriateness of p-card expenditures. Recommendation #1009-01 target date: December 2021 (delayed from June 2011).

- Develop Mobile Device Policy (*Mobile Devices: Improvements Needed to Ensure Efficient, Secure, and Strategic Deployment*, 2016)

The Administration developed a new Mobile Communications and Devices Policy (CPM 1.7.4) to account for the City's transitions to FirstNet (which allows communication among City employees during disaster and recovery). The new policy addresses multiple recommendations in the Audit of Mobile Devices surrounding roles and responsibilities for mobile device management, stipends for the use of personal devices, and information security. Recommendation #1611-06 IMPLEMENTED

More detail about each of the priority recommendations is shown in our online dashboard and in Appendix B of this report.

---

## Departments Implemented or Closed 45 Recommendations in the Last Six Months

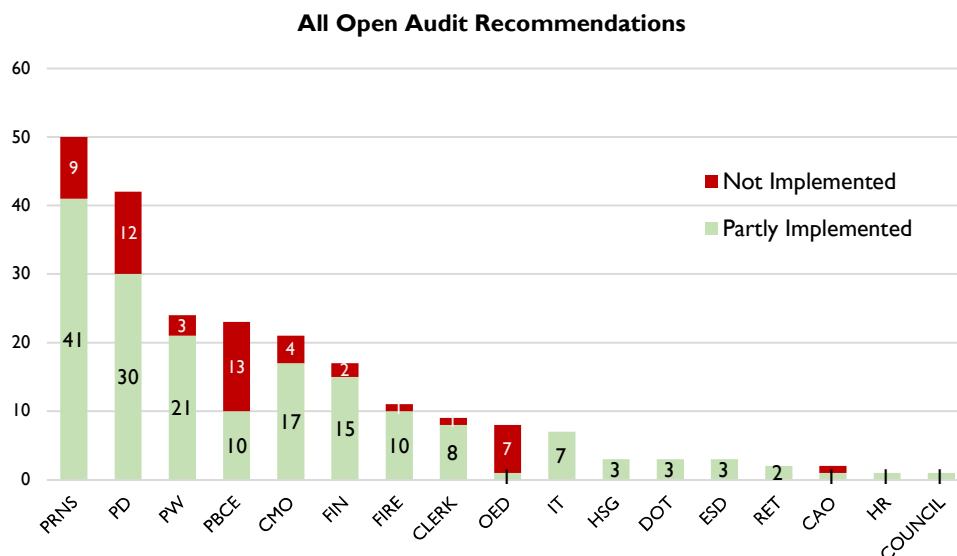
In addition to their work on the priority items listed above, departments continued to make progress toward implementing other open audit recommendations. Examples include:

- The Police Department implemented several recommendations from our 2012 audit of the Police Secondary Employment Unit (SEU), including updating its eResource software and finalizing the SEU Procedures Manual to better manage the secondary employment program and coordinate secondary employment assignments. The Department, in consultation with the City Attorney's Office, also provided additional clarity on responsibilities related to workers' compensation when employees doing secondary employment are injured. (Audit of Secondary Employment, 2012)

- The Fire Department implemented several recommendations from our 2020 Fire Development Services audit, including hiring a permit specialist to review application packages upon intake, using mobile devices for inspections in the field, and piloting a training program and incorporating new checklists and procedures to ensure consistency in service delivery. (Audit of Fire Development Services, 2020)
- The Office of Retirement Services has updated its website to be more user friendly, which will allow members to more easily find information about the retirement plans and the Office’s services. (Audit of Retirement Services, 2017)
- PRNS has made progress on recommendations related to the Neighborhood Center Partner Program (formerly the Community Center Reuse Program). In FY 2020-21, PRNS conducted an RFQ and is currently in negotiations with 16 organizations to provide services at City facilities. The program has a new contract template with simplified reporting guidelines for providers and PRNS has created new monitoring procedures to ensure residents are receiving agreed upon services. (Audit of the Community Center Reuse Program, 2018)
- Since the 2019 in-lieu fee audit, Public Works has transferred \$5.7 million of in-lieu fees to other City funds or developers for projects that have been completed, and \$4.7 million was either refunded to developers or transferred to other City or County funds from the Depositors Fund. (Audit of Street and Utility In-Lieu Fees, 2019)

### A Total of 227 Recommendations Are Still Pending

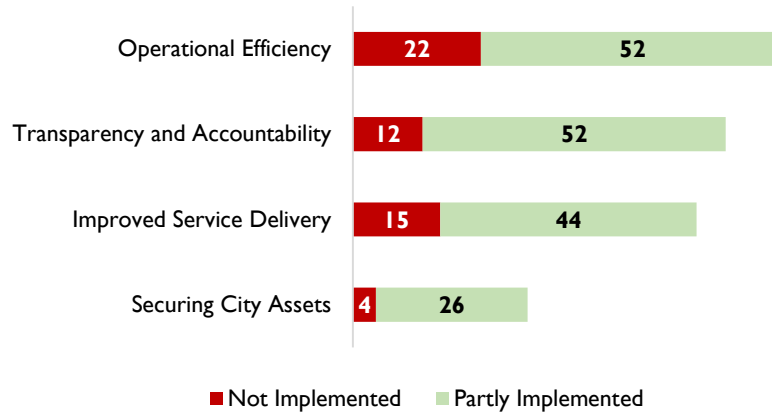
Of the 227 recommendations that are still pending, 174 (77 percent) are partly implemented and 53 (23 percent) are not implemented. PRNS has the largest number of open audit recommendations – many of them recommendations issued within the last three years.





When implemented, many recommendations will improve operational efficiency of City departments. Others will improve transparency and accountability or improve service delivery. Others will help secure City assets.

### Open Audit Recommendations by Intended Outcome



### \$11 Million in Potential Savings from 16 Open Recommendations

Implementing recommendations can sometimes result in cost savings or additional revenue to the City. Examples include:

- Renegotiating the revenue sharing terms of the integration agreement with Santa Clara Valley Water District (estimated at \$2.8 million at the time of an audit in 2016)
- Better management of overtime and reducing compensatory balances of sworn employees in the Police Department (an estimated \$2.2 million from multiple recommendations from audits in 2016 and 2021)
- Pursuing changes in overtime eligibility for employees who receive both overtime and executive leave. (\$1.6 million at the time of the Key Drivers of Employee Compensation audit in 2011)
- Recovering 100 percent of the cost of the Police Department’s secondary employment program (\$747,000 at the time of the audit in 2012)

These and other recommendations that could result in potential savings are shown in more detail in Appendix B and in our online dashboard.

### 6 Pending Recommendations Are Potentially Subject to Meet and Confer

We forward open items that may be subject to meet and confer to the Office of Employee Relations for inclusion in their annual labor relations update to the City Council.<sup>2</sup> These are also identified in Appendix B as well as on our online dashboard.

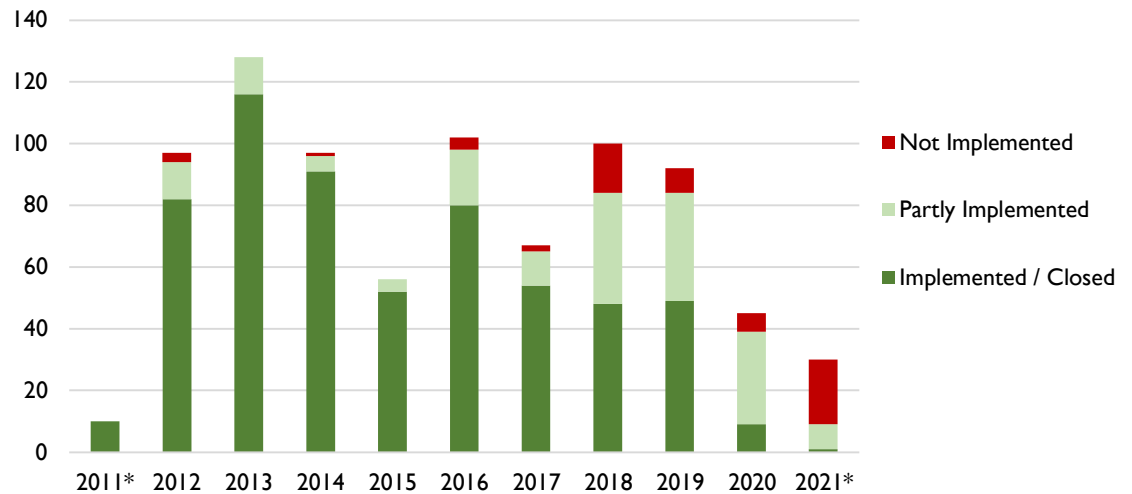
<sup>2</sup> For more information, see the *2021 Annual Summary of Labor Negotiations* at [San Jose, CA - Official Website – Labor Relations Information](#).

---

## Departments Have Implemented 72 Percent of Recommendations Made in the Last 10 Years

Over the last 10 years, the City Auditor’s Office has made 824 recommendations to improve or enhance City services. Of those recommendations, 72 percent have been implemented.

**Recommendations Made Over the Last 10 Years**



\* Recommendations in 2011 represent July 2011-December 2011, and recommendations in 2021 represent January 2021-June 2021 to account for 10 full years.

Note: The number of recommendations can vary from year to year based on the type and scope of audits, as well as the timing of the release.

Over the past five years, departments have fully implemented 52 percent of the 381 audit recommendations made. (See Appendix A for a list of reports issued in the last five years and the status of their recommendations.)

---

## CONCLUSION

More information about all open recommendations is available in the appendices to this report and online:

- The *Dashboard of the Status of Open Audit Recommendations* contains information about the status of all pending recommendations as of June 30, 2021 – sortable by priority, department, year published, target date, and type/benefit.
- The *Dashboard of All Recommendations 2010 to Present* contains all recommendations (both open and closed) made since 2010 – sortable by report, department, year published, and status. A search feature allows users to search by keyword.

Both dashboards are online at:

[www.sanjoseca.gov/your-government/appointees/city-auditor/audit-recommendations](http://www.sanjoseca.gov/your-government/appointees/city-auditor/audit-recommendations)

The City Auditor's Office would like to thank the City Manager's Office and all the departments for their efforts to implement audit recommendations and for their assistance in compiling this report.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Joe Rois', with a stylized flourish at the end.

Joe Rois  
City Auditor

Audit staff: Brittney Harvey, Juan Barragan, Shirley Duong, Leonard Hyman, Marisa Lin, Gitanjali Mandrekar, Ebelechukwu Obi, Alison Pauly, Vicki Sun, and Caroline Wurden

Appendix A: Summary Listing of Recommendations by Report (July 1, 2016 – June 30, 2021)

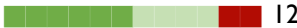





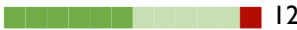


Appendix B: Detailed Listing of the Status of Pending Recommendations as of June 30, 2021




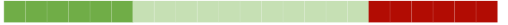


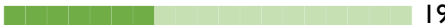



**This page was intentionally left blank**



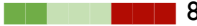


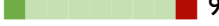
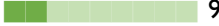


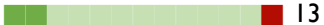
# Appendix A:

SUMMARY LISTING RECOMMENDATIONS BY REPORT

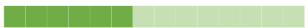
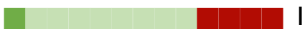
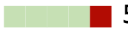

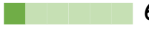

(July 1, 2016 – June 30, 2021)

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#16-08	Police Overtime: The San José Police Department Relies on Overtime to Patrol the City Due to Unprecedented Vacancies	PD	Increase efficiency of staffing, improve tracking of hours worked by Police Department employees, and improve the tools for supervisors to monitor overtime worked	 12
#16-10	The Apartment Rent Ordinance: Additional Investment, Improved Processes, and Strategic Resource Deployment Needed to Better Serve Tenants and Landlords	HSG	Better deploy resources, improve processes, and recover program costs	 19
#16-11	Mobile Devices: Improvements Needed to Ensure Efficient, Secure, and Strategic Deployment	IT	Ensure efficient, secure, and strategic deployment of mobile devices through updated policies and procedures, software solutions, and streamlining of processes	 16
#17-01	Audit of Our City Forest	DOT	Ensure consistency and accountability with the City's grant agreements with Our City Forest and improve the off-site tree replacement program	 4
#17-02	Office of Equality Assurance: Increased Workload Warrants Reevaluation of Resource Needs	PW	Reallocate staff and update procedures considering the growing number of OEA responsibilities	 8
#17-03	Audit of Residential High-Rises	PBCE	Consistently assure health and safety standards are met, and ensure transparency of development reviews for high-rise development projects	 3
#17-04	Open Government: The City Has Made Progress in Meeting the Goals of the Sunshine Reform Task Force	CMO	Promote government transparency and ensure compliance with the City's Consolidated Open Government and Ethics Provisions	 12
#17-05	Audit of Environmental Services Department Consulting Services: Agreements Require Additional Oversight	ESD	Protect City resources by strengthening controls and improve contract monitoring	 10
#17-06	Audit of Retirement Services: Greater Transparency Needed in the Budgeting Process, Interactions Among Stakeholders, Investment Policies, and Plan Administration	RET	Increase transparency in the budgeting process, interactions among stakeholders, investment policies, and plan administration	 25

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#17-08	Audit of Employee Travel Expenses	FIN	Clarify portions of the existing City travel policy to improve compliance; in addition, strengthen controls over the gas card program to protect City resources from potential abuse	 4
#17-09	San José's Tier 3 Defined Contribution Plan: The City Should Clarify How Contributions Are Calculated	CMO	Clarify how contributions to employee accounts are calculated under the Municipal Code and determine whether the City is required to make retroactive corrections for past errors	 1
#18-01	Pensionable Earnings: Tighter Controls and More Transparency Can Ensure Retirement Contributions Continue to be Accurate	CMO	Improve controls and transparency to ensure retirement contributions continue to be accurate	 4
#18-02	Audit of the San José Police Activities League	PRNS	Improve the City's oversight and management of the San José Police Activities League	 23
#18-03	Department of Public Works: Enhancing Management of Capital Projects	PW	Enhance management of capital projects	 10
#18-04	Audit of Vehicle Abatement: The City Could Improve Customer Service for Vehicle Abatement Requests	DOT	Improve customer service for vehicle abatement requests	 12
#18-06	Community Center Reuse (now the Neighborhood Center Partner Program): Efficient Monitoring and Better Data Can Help Determine the Next Phase of Reuse	PRNS	Improve program monitoring and use of facility- and provider-level data to better assess services delivered to residents	 19
#18-07	Audit of the City's Homeless Assistance Programs: More Coordination and Better Monitoring Can Help Improve the Effectiveness of Programs	HSG	Improve the City's oversight and management of its homeless assistance program	 14
#18-08	Team San Jose Performance FY 2017-18	OED	Establish and formalize the target for theater occupancy	 1
#18-10	Audit of Towing Services: Changes to Contract Terms and Consolidated Oversight Could Improve Operations	DOT	Address towing contract violations, standardize towing and storage fees, update contract terms, and improve oversight	 17

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#19-01	Audit of 9-1-1 and 3-1-1: Changes to Call Handling and Increased Hiring Efforts Could Improve Call Answering Times	PD	Improve emergency call answering times	 19
#19-02	Employee Benefit Fund Administration: Opportunities Exist to Improve Controls	HR	Improve administration of employee benefit funds	 8
#19-03	Development Noticing: Ensuring Outreach Policies Meet Community Expectations	PBCE	Update outreach policies to reflect current conditions, and improve mechanisms for reaching neighborhood associations and limited-English speaking populations	 8
#19-04	The Mayor's Gang Prevention Task Force: Better Coordination and Use of Data Can Further the Task Force's Strategic Goals	PRNS	Support and enhance the Task Force's continuum of care strategy	 17
#19-05	Employee Reimbursements: Strengthening and Streamlining the Reimbursement Process	FIN	Streamline and better monitor the employee reimbursement process	 4
#19-06	Form 700s: Despite High Overall Filing Rates, the City Can Improve Timeliness and Completeness of Filings	CLERK	Streamline processes and standardize procedures to improve the timeliness and completeness of Form 700 filings	 9
#19-07	Procurement Cards: Clarification on Policies and Additional Oversight Can Improve the P-Card Program	FIN	Improve program controls and oversight, as well as monitoring of agreements	 9
#19-08	Street and Utility In-Lieu Fees: Transparency and Coordination Can Improve the Administration of Fee Programs	PW	Improve the calculation, collection, and use of in-lieu fees for street and utility-related public improvements	 8
#19-10	Technology Deployments: Processes Can Be Improved to Ensure Long-term Success of the City's Technology Vision	IT	Strengthen the City's technology deployments process by improving planning, tracking, and reporting of major technology projects throughout the City	 10
#20-02	Fleet Maintenance and Operations: Public Works Can Continue to Improve Fleet Operations	PW	Continue to enhance fleet operations by utilizing data to identify fleet replacements and monitor operations, and streamlining the fleet acquisition process	 13



Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#20-03	Audit of Fire Development Services: Staff Resources and Process Efficiencies Will Help to Reduce Backlog	FIRE	Improve customer service and the efficiency of the Fire development services program by reducing the backlog of work, improving processes, and addressing resource needs	 14
#20-04	Park Maintenance: Improved Data Collection and Analysis Would Enhance Park Maintenance Operations	PRNS	Continue to better monitor and improve park maintenance operations by reassessing the Park Condition Assessment process and data collection protocols, and using targeted data to inform resource decisions	 13
#20-05	Development Partners' Work-in-Progress Reserves: Better Monitoring Can Ensure Reserves Align with Resource Needs	MULTIPLE	Improve the workload and resource planning through better tracking of development work in progress	 5
#21-01	Police Staffing, Expenditures, and Workload: Staffing Reductions Have Impacted Response Times and Led to High Overtime Costs	PD	Review and compare Police staffing, spending, and calls for service over time, and provide recommendations about managing overtime and staffing to meet Council and community priorities	 10
#21-02	Advocate Referrals: Further Improvements to Processes and Data Sharing Can Help Connect More Survivors to Services	PD	Connect more survivors to services by making further improvements to advocate referral processes and data sharing	 6
#21-03	Real Estate Services: Better Tools and Coordination Can Improve Asset Management and Service Delivery	OED	Improve oversight and coordination for managing the City's real estate assets	 6

**This page was intentionally left blank**

# Appendix B:

DETAILED LISTING OF THE STATUS OF PENDING  
RECOMMENDATIONS AS OF June 30, 2021

Report and Recommendations	Dept (s)	Current Status	Comments
#03-10 An Audit of the San José Fire Department's Bureau of Fire Prevention	FIRE	Implemented	In June 2021, the Fire Department accepted a consultant report entitled "Fire Safety Code Compliance Fee Study." As part of this review, the consultant evaluated the current inspection workload and current staff capacity to meet those needs. The consultant's recommendation was for the Fire Department to add 1-2 additional staff. The Department will consider this recommendation for future budget action.
#12 Develop a workload analysis to determine its inspection staff needs to achieve its inspection goals and objectives.			
#08-04 Audit of the City's Oversight of Financial Assistance to Community-Based Organizations	OED	Implemented	Council Policy 7-1 (the Below Market Rental Policy for Use of City-Owned Land and Buildings by Nonprofit or Charitable Organizations or for Governmental or Other Public Purposes) was revised and approved in April 2021.
#09 Clarify when the 7-1 policy should apply to leases with CBOs of City facilities.			
#08-04 Audit of the City's Oversight of Financial Assistance to Community-Based Organizations	OED	<b>Closed - Priority</b>	Real Estate had previously implemented part B of this recommendation. Part A of this recommendation is superseded by audit report #21-03, recommendation #2 which states: The Real Estate Services Division should work with the Information Technology Department, the Finance Department, and other City departments to implement a database platform to better manage the City's real estate assets that includes property management: a) Property management information such as lease terms, payments, and related information, b) Property-related agreements or other relevant information to identify ownership or management responsibilities, and c) Any other information that the Real Estate Services Division deems necessary.
#11 We recommend the Real Estate Division: A) Develop a centralized spreadsheet to track the status of CBO leases and other long-term use agreements for City owned properties with CBOs including key terms and rental payments. B) Bring current all expired leases, rental payments, insurance certificates, and other required reporting documentation.			

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#09-08 Performance Management and Reporting in San José</p> <p>#01 The purpose of the “white paper” was to provide a roadmap for developing a performance management system that promotes data-driven decision making. Jointly signed by the City Manager and the City Auditor, it included “next steps” meant to reduce staff time compiling data while ensuring City staff and policy makers have the best information available for decision making and increasing accountability and transparency in the City’s public reporting. As outlined in the report, next steps included: scheduling frequent and regular meetings of top department managers and the City Manager’s Office to proactively discuss performance metrics, identify issues, and to evaluate solutions; periodic assessments of the performance management system itself; reviewing and reducing the number of performance measures; compiling methodology sheets for performance measures; reassessing reporting mechanisms; validating performance measures; establishing information systems to track performance data; clarifying core service names; clarifying the link between mission, goals, and objectives; obtaining the net cost of services; and increasing the use of efficiency measures.</p>	CMO	Partly Implemented	The purpose of the "white paper" was to provide a roadmap for developing a performance management system that promotes data-driven decision making. It was jointly signed by the City Manager and the City Auditor. The City’s Budget Office has implemented many of the next steps identified in the report. This includes: eliminating more than 100 performance measures that were no longer meaningful; clarifying or renaming many of the City’s core services; reallocating some costs from the City-Wide Expense budget category to department budgets, and organizing City-Wide Expenses by department; and requiring up-to-date methodology sheets for all of the performance measures reported in the Budget. Planning continues on the development of more regular performance reporting and updates to the CSA Dashboards, with the intention of leveraging the refreshed data throughout the year to help monitor and improve public service delivery. In the spring 2021, the City issued a Request for Proposal for a new vendor to conduct the next Customer Satisfaction Community Survey, which is anticipated to allow for greater flexibility and the opportunity for data to be shared between the Administration and City Auditor. In addition, as part of the annual budget process, a number of reported performance measures were dropped, modified, or added to better align with departmental service objectives, particularly within the Information Technology and Transportation departments. In alignment with the direction from Councilmember Mahan as included with the City Council-approved Mayor’s June Message for Fiscal Year 2021-22, the City Manager’s Budget Office plans to lead an effort in the fall of 2021 to engage Council in a process to better align the annual budget planning process with measurable performance targets, including the level, quality, and equitability of core City services Target Date: On-going
<p>#10-09 City Procurement Cards</p> <p>#01 Revise the p-card policy to require simple descriptive annotations on receipts or statements that describe the intended use of the purchases, as well as the intended location, and if applicable, the number of people intended to use the purchased items or services.</p>	FIN	Partly Implemented - Priority	In 2012, the Finance Department began informing departments that they should annotate receipts or statements from p-card purchases with simple descriptive annotations of the intended use of the purchase, the intended location, and if applicable, the number of people intended to use the purchased items or services. Finance recommends annotations in quarterly p-card trainings, as well. Additionally, the Finance Department is working on revising the City Procurement Cards policy (Section 5.1.2 of the City Policy Manual), dividing the policy into two parts: a high-level administrative policy and a detailed p-card administrative guide. Both documents are under senior staff review. Target Date: Dec-2021 (Delayed From: Jun-2011)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#11-04 Key Drivers of Employee Compensation</p> <p>#02 To reduce the cost of overtime, the City should  (1) conduct a Citywide FLSA overtime review or at a minimum review job specifications for specific positions and whether they would qualify for an FLSA overtime exemption;  (2) pursue reductions in overtime to align with FLSA requirements (including but not limited to calculating overtime on hours worked, not paying overtime to exempt employees, and not paying overtime to employees receiving executive leave); and  (3) prepare full cost estimates of contract provisions that exceed FLSA provisions.</p>	CMO	Partly Implemented  (Subject to meet and confer)	<p>(1) The City has not yet conducted a Citywide FLSA overtime review or a review of job specifications to determine whether some positions would qualify for FLSA overtime exemptions.</p> <p>(2) The City achieved changes in overtime eligibility for some employees. For instance, some represented employees are paid overtime only after having worked 40 hours (excluding paid time off, with the exception of holiday leave). Changing overtime eligibility for employees who receive executive leave may be subject to meet-and-confer and would be considered within the context of labor negotiations.</p> <p>(3) The Office of Employee Relations (OER) reports that it will prepare the recommended full cost estimates of contract provisions that exceed FLSA provisions in preparation for the upcoming contract negotiations. The target date varies by employee unit. Target Date: Dec-2021 (Delayed From: Dec-2018)</p> <p>Potential Budget Savings: Between May 2011 and August 2014, overtime costs to supervisory employees approached \$4 million. At that time, we estimated pursuing reductions in overtime and comp time for supervisory employees could save over \$1.6 million.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#01 The Police Department should develop and immediately implement a written procedure for periodic review of off-duty employment timecards including comparisons of:  (a) City timecards to off-duty timecards,  (b) timecards for multiple off-duty jobs to each other to test for fraud, and  (c) hours taken for administrative/disability/sick leave to hours worked off-duty. The Department should also hold supervisors accountable for paying attention to on-duty and secondary employment time keeping.</p>	PD	Partly Implemented	<p>The Department updated procedures for the Secondary Employment Unit (SEU) to include audits of timecards to test for fraud and overlapping hours, as well as secondary employment worked simultaneously with disability or other leaves. The Department periodically reviews timecards; however, because of staffing constraints SEU is unable to conduct additional reviews. The Duty Manual was updated after the audit to cover failure to report SEU hours. The Department is working with its software vendor to add software updates to its scheduling software, eResource, to enable the Department to accurately track its employees' hours and pay rates. After this is done, the Department will need to review the process to test employee timecards to off-duty timecards. Target Date: Oct-2021 (Delayed From: Jun-2017)</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#02 The Police Department should develop a system to compile real-time data regarding the number of hours worked and pay earned from off-duty work.</p>	PD	Partly Implemented	<p>In 2013, the Department purchased scheduling software, eResource, that could potentially allow for real-time data as recommended. The Department is working with its software vendor to add software updates to enable the Department to accurately track its employees' hours and pay rates. See recommendation #1. Target Date: Oct-2021 (Delayed From: Dec-2013)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-04 Police Department Secondary Employment</p> <p>#03 The Police Department should:</p> <p>(a) keep lists of work permits and employers updated and be able to provide summary data;</p> <p>(b) include tests in periodic reviews to ensure the completeness of pay job hours that are reported to the City;</p> <p>(c) specify in the Duty Manual the disciplinary consequences for both employees and supervisors for failure to consistently report off-duty hours worked; and</p> <p>(d) develop a way to track enforcement actions taken at pay jobs; one possibility is a special code or call sign in CAD to designate calls from those working secondary employment.</p>	PD	Implemented	<p>(a) The Department is now able to track work permits, hours, and employers.</p> <p>(b) The SEU Procedures Manual has been revised to require verification of hours worked based on secondary employers' records; SEU management advises that the unit has insufficient staffing to conduct more than periodic verifications.</p> <p>(c) Several sections of the Duty Manual have been updated to outline disciplinary measures with regards to secondary employment.</p> <p>(d) SEU created specific call signs dedicated to secondary employment jobs. The Department reports that officers use these call signs to track enforcement actions taken at pay jobs, and SEU has continued to send reminders to its staff to use these call signs.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#04 The SEU should report to the Police Chief at least annually on the following data about the secondary employment program:</p> <p>(a) the number of hours worked,</p> <p>(b) the amount of pay earned by employee from each off-duty employer,</p> <p>(c) the number of employees who have off-duty work permits,</p> <p>(d) the total number of permits, and</p> <p>(e) the number of employers participating in the program. The report should also note major changes or challenges with program during the prior year.</p>	PD	Partly Implemented	<p>The Department purchased scheduling software in 2013 that it hoped could allow for tracking of hours worked and pay earned as recommended in parts (a) and (b). The SEU provides a quarterly report to the Chief that provides information on the number of employer applications processed, hours of off-duty uniformed work at special events, number of work permits processed, number of special events coordinated by SEU, estimates of costs billed, cost of providing secondary employment capability, and cost to event promoters for off-duty officers as compared to City costs for equivalent on-duty personnel. The report further highlights challenges faced by the program. The Department continues to work with its vendor to complete tracking of hours and pay rates. Target Date: Oct-2021 (Delayed From: Dec-2013)</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#05 To promote transparency and accountability, the Police Department should know and post annually, on the City's web site, total compensation earned by Police Department employees working secondary employment in SJPd uniform. The Department should know and post information for each employee by name, each employer where that employee worked, and the amount earned from each employer during the year as reported by the employee to the Police Department.</p>	PD	Partly Implemented	<p>SEU has advised that current staffing levels in SEU are inadequate to provide this information currently. The eResource update is expected to give the Department the ability to track compensation earned -- by company and by individual officer. Further discussion is needed to determine whether this information could be made public on the website, and at what level of detail. Target Date: Dec-2024 (Delayed From: Dec-2013)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
#12-04 Police Department Secondary Employment  #10 The Police Department should clarify (in writing) the City's limited liability with regard to workers' compensation in the context of secondary employment.	PD	Implemented	The Secondary Employment Unit procedures manual clarifies that depending on the circumstances of the injury and if the officer was injured while taking law enforcement action during an event that otherwise would have required SJPD to send officers to respond to, the officer's claim for workers' compensation benefits might be covered by the City. It further clarifies that this would depend on the facts of each particular case. Additionally, the secondary employment application informs the applicant that their organization would be included and named as an additional insured under a Law Enforcement Professional Liability Insurance Policy that covers the City, the off-duty police officers, and the applicant.
#12-04 Police Department Secondary Employment  #16 The Police Department should develop and implement written guidelines that include criteria for how pay jobs are assigned by SEU and by coordinators. The Department should also prohibit employees who work in the Secondary Employment Unit from working pay jobs, even if they were working such jobs before being assigned to the unit. Reasonable exceptions should be included related to oversight of special events.	PD	Implemented	Secondary jobs are managed through eResource. When these jobs become available they are made available on eResource and are visible to staff that are available to work those hours. Interested officers rank their interest. eResource provides officers with opportunities to sign up for jobs based on their interest, seniority, and available time. Sworn officers are given priority over reserve officers. While many secondary jobs are available through eResource, coordinators may manage other jobs outside of it. The Secondary Employment Unit procedures manual provides some clarification on how these jobs will be assigned.
#12-04 Police Department Secondary Employment  #17 The Police Department should revise its written guidelines for the exercise of discretionary judgment in determining the number of police employees the Department requires event organizers to hire for special events. The guidelines should specify the criteria upon which the decisions will be made and should also address how the Department determines an appropriate mix of private security and police.	PD	Implemented	The Department revised guidelines to evaluate the proper level of police staffing at events based on the following criteria: -- Past staffing needs of the event -- Threat assessments -- Expected crowd size and type -- Whether alcohol is being served -- Location and type of event -- Time and length of event -- Traffic conditions -- Presence of a dignitary or high profile VIP These are now included in the Secondary Employment Unit's procedures.



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-04 Police Department Secondary Employment</p> <p>#21 If the Police Department retains the system of decentralized coordination, the SEU should be solely responsible for appointing coordinators and providing them with the lists of employees available to work pay jobs. The SEU should also maintain an up-to-date list of coordinators and the jobs they oversee. The Department should also establish and implement clear written guidelines regarding:</p> <p>(a) roles and responsibilities of coordinators and how they fit within the chain of command,  (b) a prohibition against any form of compensation other than pay,  (c) a fixed hourly rate for coordinators as well as not-to-exceed limits on coordinators pay,  (d) clarify that coordinators can only be paid for actual hours of coordination rather than an agreed upon estimate or “plug”, and  (e) expressly prohibit coordination on City time.</p>	PD	Implemented	The Duty Manual covers the roles and responsibility of the coordinator. While coordinators may schedule members of a higher rank to SEU, they will not schedule members of a higher rank that are in their immediate chain of command. The Duty Manual also prohibits coordination of secondary employment when a Department member is on duty. In August 2019, the Duty Manual was modified to standardize the rate of pay for coordinators. The coordinator pay now reflects the individual SEU pay set by the Police Chief. In 2021, the Duty Manual was further updated to clarify that coordinators would only be paid for actual hours worked instead of an estimate.
<p>#12-04 Police Department Secondary Employment</p> <p>#22 The Police Department should: (a) calculate the cost of bringing all coordination into SEU and the related impact on employers’ fees, and (b) assess the impact on the hourly rate charged to employers, as well employer fees, if coordination were brought into SEU and employees were paid at an overtime rate. Given that information, the Department should seriously consider three options moving forward: (1) phasing into SEU the coordination of additional pay jobs, (2) bringing all coordination into SEU, (3) bringing all coordination into SEU and also paying employees on overtime through the City.</p>	PD	Partly Implemented	The Department is in the process of conducting an analysis of the overall future of the secondary employment program. Target Date: Dec-2024 (Delayed From: Dec-2019)
<p>#12-04 Police Department Secondary Employment</p> <p>#23 The Police Department should:</p> <p>(a) immediately develop and enforce a reasonable daily hour limit and should consider a rest period prior to a regular shift; (one possibility is to reinstate the 14-hour daily limit previously in place), and  (b) apply the 24-hour weekly limit for off-duty jobs even in weeks when employees have taken time off, and  (c) develop a way to ensure sufficient days off per month.</p>	PD	Partly Implemented	In 2012, the Duty Manual was revised to limit the number of hours worked in a 24-hour period to 16 hours. The 24-hour weekly limit on secondary employment hours was increased to 30 hours per week. The Duty Manual makes an employee’s supervisor responsible for monitoring the impact of secondary employment on the performance of the employee’s duties. The Department currently does not mandate that employees take days off each month. The Department reports that this issue requires further discussion. Target Date: Oct-2021 (Delayed From: Dec-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-04 Police Department Secondary Employment</p> <p>#25 Because engaging in secondary employment may prolong the recovery of a member who has been injured, the Police Department should</p> <p>(a) ensure that the existing Duty Manual provision prohibiting secondary employment while on disability leave is enforced, and</p> <p>(b) develop a process for identifying employees who are working secondary employment hours either concurrently or in the same time frame as taking disability leave hours.</p>	PD	Implemented	eResource now includes rules to prevent officers from signing up for a secondary job while out sick, on disability leave, or on administrative leave.
<p>#12-04 Police Department Secondary Employment</p> <p>#26 The SEU should be housed in the Police Chief's office with the appropriate mix of civilian and sworn employees, with an emphasis on civilians to perform administrative duties and an emphasis on stable staffing and sufficient staffing to provide oversight. Sworn employees should be of sufficient rank to oversee all lower ranks that work secondary employment.</p>	PD	Closed	The Secondary Employment Unit consists of a Lieutenant, a Sergeant, and an Office Specialist. While no additional civilian staff has been approved for the unit, the Department has updated eResource and been utilizing available technology to meet their needs. Changes in eResource provides for an oversight mechanism that was not in place in 2012 when we did the audit. We recommend closing this recommendation.
<p>#12-04 Police Department Secondary Employment</p> <p>#28 The Police Department should:</p> <p>(a) calculate the comprehensive cost of the secondary employment program (personnel, administrative costs, etc.),</p> <p>(b) compare those costs to the revenue generated by related fees, and</p> <p>(c) determine the fees that would be required to make the program 100% cost recovered and present this data to the City Council.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program. Target Date: Dec-2024 (Delayed From: Dec-2019)</p> <p>Potential Budget Savings: The personnel costs of operating SEU were estimated at \$747,000 in the audit. Recovery of these costs through fees would reduce the subsidy by the General Fund.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#29 The Police Department should fully recover the cost of secondary employment liability policy either through increased employee contributions or by a fee charged to secondary employers.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program. Target Date: Dec-2024 (Delayed From: Dec-2019)</p> <p>Potential Budget Savings: In 2019, the General Fund subsidy of the secondary employment liability policy was \$23,000.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-04 Police Department Secondary Employment</p> <p>#30 Assuming that the City continues to offer uniformed off-duty employment to private employers, the City should assess the public and private benefits of the current provision of uniformed security services to a broad range of private and public entities. The Department should analyze the costs and benefits of continuing to provide this service on such a broad scale as well as the potential effects of limiting the program to certain types of jobs. The Department should propose a plan for the future of the program to the City Council that includes the results of this analysis.</p>	PD	Partly Implemented	The Department is in the process of conducting an analysis of the overall future of the secondary employment program. Target Date: Dec-2024 (Delayed From: Dec-2019)
<p>#12-06 Environmental Services</p> <p>#13 The Administration should propose the City Council establish a City Council Policy which includes guiding principles so as not to raise rates in years in which ratepayer fund balances exceed reasonable targets.</p>	ESD	Partly Implemented	At the time of our audit, the City had accumulated large ending fund balances in its utility funds – totaling more than \$278 million at the end of FY 2010-11. The sources of the large balances were lower than expected capital spending, staff vacancies, and other budget savings. We recommended the Administration propose a policy to hold rates steady when fund balances exceed reasonable targets. In coordination with the City Managers' Budget Office and the City Attorney's Office, ESD has begun developing a new City Administrative Policy Manual section, the goal of which will be to identify the guiding principles for developing utility rates to ensure rate increases are fair and appropriate, while also balancing key priorities such as safe and reliable services, cost efficiency, and supporting environmental outcomes. Target Date: Dec-2022 (Delayed From: Sep-2017)
<p>#12-06 Environmental Services</p> <p>#22 The Administration should propose the City Council adopt a City Council Policy which includes guiding principles for evaluating ratepayer costs and rate increases for fairness and appropriateness, and balancing priorities, such as safe and reliable services, cost efficiency, ratepayer impacts, and environmental outcomes.</p>	ESD	Partly Implemented	In coordination with the City Managers' Budget Office and the City Attorney's Office, ESD is developing a new City Administrative Policy Manual section outlining the overall guidelines for evaluating ratepayer costs and important considerations involved in establishing utility rates. The goal of the new City Policy Manual section will be to identify the guiding principles for developing utility rates to ensure rate increases are fair and appropriate, while also balancing key priorities such as safe and reliable services, cost efficiency, and supporting environmental outcomes. Target Date: Dec-2022 (Delayed From: Dec-2016)
<p>#12-07 Fire Department Injuries</p> <p>#03 We recommend that the Administration review and update Fire Department job descriptions with more specific descriptions of the physical requirements of what employees actually do on a day-to-day basis, and make the job descriptions and physical requirements easily accessible to physicians.</p>	HR / FIRE	Partly Implemented	As discussed in the audit, the job descriptions for the firefighter series have not been updated since 1999, and have similar physical requirements for differing classifications and ranks that could needlessly limit getting employees back to work. HR completed an RFP and secured two consultants for job classification work. However, due to budget cuts, HR no longer has the funding to proceed with the Citywide review of job classifications. However, the Fire department may fund and utilize either of the two consultants to review the Firefighter series' physical requirements. Target Date: Dec-2021 (Delayed From: Jun-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#01 We recommend eliminating bumping from the City's civil service rules as it is not cohesive with the City's modernized broadband classification structure nor with the complex and specialized work that many City employees do. If elimination is not possible, we recommend: limiting bumping to intradepartmental bumping only, limiting the number of people who can bump into a given position over a given time period, limiting the number of bumps and reinstatements into a given work unit over a given time period, and/or lowering the threshold for meeting position exemption requirements.</p>	CMO	Not Implemented  (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#02 Modify the reinstatement process to A) Allow departments to choose the most qualified candidate on the City reinstatement lists when such lists are in effect, regardless of seniority. B) Develop an exemption process for managers who have compelling cases for not filling critical positions from reinstatement lists. C) Allow employees to waive reinstatement for a certain time period or a certain number of opportunities.</p>	CMO	Not Implemented  (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#03 Pursue changes to the layoffs, bumping and reinstatement rules that subordinate seniority and factor in applicable job skills, recent job performance and disciplinary records.</p>	CMO	Not Implemented  (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#13-04 Fire Prevention</p> <p>#09 The Department should reexamine its non-development fire permit fee structure to charge San José facilities based on fire safety risk.</p>	FIRE	Implemented	In June 2021, the Fire Department accepted a consultant report entitled "Fire Safety Code Compliance Fee Study." As part of this review, the consultant evaluated potential changes to the current fee structure. Several recommendations were made to how fees were charged. The consultant determined that the current fee model sufficiently charged based on fire risk, but changes are being made to the structure of Hazardous Materials fees.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-04 Fire Prevention</p> <p>#17 To implement a risk-based inspection approach, the Fire Department should develop a workload analysis that assesses: (a) staffing requirements in the Bureau of Fire Prevention, (b) the effective use of light-duty firefighters and line staff in fire prevention activities including public education, and (c) how much additional time could become available if the Department conducted fewer re-inspections.</p>	FIRE	Implemented	<p>a) In June 2021, the Fire Department accepted a consultant report entitled "Fire Safety Code Compliance Fee Study." As part of this review, the consultant evaluated current inspection workload and current staff capacity to meet those needs. The consultant's recommendation was for the Fire Department to add 1-2 additional staff. The Department will consider this recommendation for future budget action.</p> <p>b) To the extent possible, the Department has been utilizing light duty personnel who have been trained in fire safety code inspections, analytics, and fire prevention education. Through a return-to-work program, the Department is working to match light duty personnel's skills with available positions.</p> <p>c) To ensure that inspector time is spent efficiently, Fire Prevention has a policy in place that an Administrative Citation shall be issued upon the third site inspection for any violation that has not been corrected.</p>
<p>#13-04 Fire Prevention</p> <p>#19 The Fire Department should develop a public education program based on the fact that many fires and most of the fire deaths in recent years occurred in multifamily residences. Public education efforts should include working with the community to provide education to children and other high-risk groups as well as education about and access to smoke detectors.</p>	FIRE	<p><b>Implemented</b></p> <p>-</p> <p><b>Priority</b></p>	<p>The Department's Public Information Manager and Video/Multimedia Producer have expanded the Department's public outreach efforts related to fire prevention, education, and preparedness over the last year. Due to the COVID-19 pandemic limiting in-person public outreach, effort has been placed on increasing access to educational materials using videos and social media. A social media calendar has been developed and includes key dates, significant national, regional, and local fire-safety campaigns as well as highlighting initiatives, efforts, and activities the Department and its members are undertaking. An internal Public Information Advisory Committee was also formed in 2020 with members focused on creating public safety videos (Junior Firefighter Safety and Wheels Wednesday), social media outreach, and revising Department public education outreach materials for children and other high-risk groups. Over the past year, the Junior Firefighter Safety video series was launched to provide important safety messaging on topics such as Smoke Detectors, Exit Drills in the Home, and Electrical safety for children and their parents. Additionally, a video series dubbed Wheels Wednesday was developed to highlight various SJFD apparatuses along with their capabilities and how they assist firefighters with keeping the City of San José safe. The Public Information Manager has developed an annual workplan in partnership with the Fire Chief to ensure timely and consistent public messaging which covers a wide range of fire safety topics. In FY 2020-21, efforts were heavily focused on digital outreach with anticipation that future public outreach activities will include community events and school functions. The Department reports that staff are also working to update outreach and educational material to prepare for the resumption of those in-person outreach/educational opportunities.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-06 Consulting Agreements</p> <p>#05 The City Manager's Office should revisit the role of the Finance Department with respect to consultant procurements, evaluating whether its current level of involvement and resources is adequate.</p>	CMO / FIN	Partly Implemented	In 2019, the City Manager's Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments, document the desired process, prepare an administrative policy document on procuring consulting services, and conduct training on the new policy. The CMO and Finance Department plan to work together to ensure that the updated policies are incorporated into procurement trainings. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020. In this phase, the desired City procurement and contract processes would be documented. However, due to the City's COVID-19 response, the project has been on hold. The Emergency Operations Center (EOC) was deactivated on June 30, 2021, but the CMO reports that there has been limited staff availability due to vacancy impacts and the changing pandemic landscape. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#13-06 Consulting Agreements</p> <p>#07 To lessen the burden on City staff while fostering improved competition in consultant procurements, the Finance Department should include in its annual procurement training simplified procurement processes for smaller consulting contract procurements while encouraging full and open competition, and define when these simplified processes can be used.</p>	FIN	Partly Implemented	The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to update policies and procedures regarding procuring consultants. The Finance Department plans to work with the CMO and Human Resources to ensure that these updated policies and procedures are incorporated into procurement training that is developed from the engagement. The CMO reports planning for the next phase of the service order began with the consultant in February 2020, but the project has been on hold due to the COVID-19 pandemic, which impacted staff availability. The Finance Department conducted two Biddingo (the City's e-procurement system) trainings that occurred in March and April 2021 and updated their intranet page with the training recordings. Finance reports that staff is also working on updating the Biddingo user guide, which Finance expects will be completed by December 2021. Target Date: Dec-2021 (Delayed From: Jun-2018)
<p>#13-06 Consulting Agreements</p> <p>#08 We recommend that the City:  A) Reconcile overpayments as described above and get reimbursed for these overpayments,  B) Document any changes in consulting contract terms or requirements through a formal contract amendment, and enforce existing contract terms. If the contract allows for changes in terms without amendments, such changes should be documented in writing, and  C) Require contract managers to reconcile previously received deliverables to contract payments during the contract amendment process, prior to increasing contract amounts.</p>	CMO / FIN	Partly Implemented	The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to update policies and procedures regarding procuring consultants. The CMO reports this information will be used to establish a City policy for procuring consultant services and develop training materials, which will be used to address parts (b) and (c) of this recommendation. With respect to part (a), in 2014, the Police Department executed a retroactive extension that approved prior year expenditures with at least one of the consultants we identified (Corona Consulting). The CMO reports that planning for the next phase of the service order began with the consultant in February 2020, but the project has been on hold because of the City's COVID-19 response. The EOC was deactivated on June 30, 2021, but the CMO reports that staffing availability has been impacted by vacancies and the changing pandemic landscape. Also see Recommendation 1306-09. Target Date: Dec-2021 (Delayed From: Dec-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-06 Consulting Agreements</p> <p>#09 We recommend the Administration develop Citywide policies and procedures on contract monitoring and management including:</p> <ul style="list-style-type: none"> <li>- a standardized contract management process,</li> <li>- organization of contract files,</li> <li>- checklists for tracking agreed-upon deliverables and line item budgets,</li> <li>- components of invoice review which link payments to contract deliverables, and</li> <li>- documenting deliverables prior to payment.</li> </ul> <p>We further recommend that the City require contract administrators to annually certify they have reviewed and understand those policies and procedures.</p>	CMO / FIN	<p><b>Partly Implemented</b></p> <p>-</p> <p><b>Priority</b></p>	<p>In 2019, the City Manager's Office (CMO) executed a service order with a consultant (amended in 2020) to document the current process for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. The CMO reports that this information will be used to establish a City policy for procuring consultant services and develop training materials. Once finalized, the Finance Department plans to work with the CMO to ensure that the updated policies are included in their training. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020. However, due to the City's COVID-19 response, the project has been on hold. The EOC was deactivated on June 30, 2021, but the CMO reports that there has been limited staff availability due to vacancy impacts and the changing pandemic landscape. Target Date: Dec-2021 (Delayed From: Jun-2018)</p>
<p>#13-06 Consulting Agreements</p> <p>#11 We recommend the Administration ensure that:</p> <p>A) Staff managing contracts conform with current City contract retention policies and, consistent with those policies, keep all documents related to contract procurement, compliance and monitoring, including all documents related to contract renewals, amendments, continuation agreements, and other contract modifications; and</p> <p>B) Require staff to include a notation regarding the City's retention policies in each individual contract file.</p>	CMO / FIN	Partly Implemented	<p>Contract management and document retention has largely been delegated to individual department staff. In 2019, the City Manager's Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments, document the desired process, prepare an administrative policy document on procuring consulting services, and conduct training on the new policy. The CMO reports planning for the next phase of the service order began with the consultant in February 2020, but the project has been on hold due to the City's COVID-19 response, which impacted staff availability. Target Date: Dec-2021 (Delayed From: Jan-2018)</p>
<p>#13-06 Consulting Agreements</p> <p>#13 We recommend that the City Administration include the City's Conflict of Interest and Ethics policies in its annual procurement and contract monitoring training.</p>	FIN	Partly Implemented	<p>The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to update policies and procedures regarding procuring consultants. After this engagement, the Finance Department plans to work with the CMO and Human Resources on a request for proposal (RFP) consultant training and intends for the training to include the City's Conflict of Interest and Ethics policies. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020, but the project has been on hold because of the City's COVID-19 response. Target Date: Dec-2021 (Delayed From: Jun-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-11 Code Enforcement</p> <p>#08 The City Administration should propose to expand the Residential Occupancy Permit program to include condominiums functioning as rental apartment complexes.</p>	PBCE	Partly Implemented	<p>The goal of the Residential Occupancy Permit Program is to provide minimum safety and habitability standards for renters. As reported in the audit, about 41 percent of San Jose residents were renters in a total of about 125,000 renter-occupied units. However, the Multiple Housing Program issued Residential Occupancy Permits for only about 84,000 units. This net difference of 41,000 units could mean that as much as a third of San José’s renters are not receiving the same level of service afforded to other rental residents. The current policy to exclude condominiums (potentially housing hundreds of renters) leaves a significant portion of San José’s renters potentially at risk. Code Enforcement had previously been part of a multi-departmental permitting system upgrade. However, because of implementation challenges, in June 2019 Code Enforcement was removed from the project scope and will now begin working on securing its own database and case management system. Code Enforcement anticipates that the new system will provide the capability to incorporate condominiums into the Residential Occupancy Permit Program. As part of the FY 2020-21 Budget process, Code Enforcement established a reserve to fund the replacement of its current system (CES). Code Enforcement also received budget approval for a consultant study to evaluate the fee structure and service delivery of the Multiple Housing Program tier model including exploring adding a fourth tier and incorporating condominiums functioning as rental apartment complexes into the inspection program. Code Enforcement anticipates that insights gained from the consultant study and the procurement of a new case management system will inform the workplan and provide the necessary data and technological capability to incorporate condominiums functioning as rental apartment complexes into the Residential Occupancy Permit Program. Target Date: Jul-2023 (Delayed From: Jul-2018)</p>
<p>#13-11 Code Enforcement</p> <p>#12 To ensure tenants are aware of deficiencies found in their place of residence, Code Enforcement should formally inform tenants of the violations found and the deadline for compliance.</p>	PBCE	Partly Implemented	<p>Code Enforcement has intended to complete a pilot for a Tier 3 property notification process. It is working to update the pilot work plan and implementation plan for such notifications. Code Enforcement resumed virtual inspections in November 2020. However, due to a backlog this has been delayed. Target Date: Jun-2022 (Delayed From: Jul-2018)</p>



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-11 Code Enforcement</p> <p>#16 Code Enforcement review options to replace or enhance its code enforcement database (CES) and include options for mobile units and interfacing with other city databases.</p>	PBCE	Partly Implemented	<p>As described in the audit, Code Enforcement's current database does not have the capability of interfacing with PBCE's primary database to retrieve property related information while out in the field, research any residual permit information, or document information immediately after completing an inspection. Code Enforcement had previously been part of a multi-departmental permitting system upgrade. However, because of implementation challenges, in June 2019 Code Enforcement was removed from the project scope and began work on securing its own database and case management system. As part of the FY 2020-21 budget process, Code Enforcement set aside a reserve of \$1.9 million to procure the new system. Code Enforcement anticipates that the new system will provide the capability to incorporate condominiums into the Residential Occupancy Permit Program and provide inspectors with full access to this information. In the interim, some inspectors have been provided laptops in which they can VPN to the current PBCE system if needed in the field. Code Enforcement began the RFP process in May 2021. Target Date: Dec-2022 (Delayed From: Jul-2018)</p>
<p>#13-11 Code Enforcement</p> <p>#17 In order to ensure that the Multiple Housing roster is complete, Code Enforcement should: A) Periodically update its Multiple Housing Roster with newly issued Certificates of Occupancy from the AMANDA database; and B) Automate the process when it replaces its database.</p>	PBCE	Partly Implemented	<p>Code Enforcement staff has to manually update the Multiple Housing roster by checking the AMANDA database for newly issued Certificates of Occupancy. This manual process can be unreliable. Code Enforcement was previously part of the Planning, Building and Code Enforcement permitting system upgrade. However, in June 2019 Code Enforcement was removed from the project scope and will begin work on securing its own database and case management system. Code Enforcement has established a reserve of \$1.9 million to replace its database as part of the FY 2020-21 Budget process. Code Enforcement also received budget approval for a consultant study to explore adding a fourth tier and incorporating condominiums functioning as rental apartment complexes into the inspection program. Code Enforcement anticipates that insights gained from the consultant study and the procurement of the new case management system will inform the workplan and provide the necessary data and technological capability to incorporate condominiums functioning as rental apartment complexes into the Residential Occupancy Permit Program. Code Enforcement began the RFP process in May 2021. In the interim, Code Enforcement plans to coordinate with the Building Division to determine if an automated solution can be implemented in AMANDA to create a more reliable, accurate, and timely notification process. Target Date: Jul-2023 (Delayed From: Jul-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-12 Audit of Employee Travel Expenditures</p> <p>#08 The Administration should require, through the City Procurement Card Policy, that procurement card approvers attach travel coordinator-approved Travel Statements as supporting documentation for travel-related procurement card expenditures.</p>	FIN	Partly Implemented	Finance staff have incorporated this recommendation into the draft Procurement Cards Policy (City Administrative Policy 5.1.2) and updated the Procurement Card Administrative Guide. These are currently under review by senior staff. Target Date: Dec-2021 (Delayed From: Jun-2017)
<p>#13-12 Audit of Employee Travel Expenditures</p> <p>#11 To minimize work effort and facilitate timely approvals, the Administration should implement an electronic travel authorization system, and until then should encourage departments to use electronic pre-trip and post-trip approval.</p>	FIN	Partly Implemented	The Finance Department completed an RFP for an electronic travel software solution, but was unable to reach agreement with the selected vendor, so all responses were rejected. The Finance Department plans to reissue the RFP. In the interim the Department developed a Business Process Automation product to establish the flow for the mileage reimbursement functionality. Target Date: Dec-2022 (Delayed From: Jun-2018)
<p>#14-07 City Procurement Cards</p> <p>#01 We recommend that the Finance Department revise the Procurement Card Policy to: A) Emphasize the responsibility cardholders have to make prudent purchases; B) Include questions that guide cardholders to evaluate the reasonableness of their purchases; C) For purchases that require IT approval, require documentation of that approval be attached to p-card statements; D) Change the approval process for Council appointees to require review by the Finance Department and referral to the Mayor's Office or City Council in cases of potential policy violations; E) Clarify the department coordinator's responsibility to notify Finance of all violations and that Finance should only refer personal purchases to OER; and F) Establish a process to have frequent contact via email with department coordinators</p>	FIN	Partly Implemented	In 2015, the Finance Department began drafting revisions to the City Procurement Cards policy (Section 5.1.2 of the City Policy Manual) to reflect these recommended changes, aimed at enforcing prudent and responsible expenditure of City funds. Since then, the Department decided to rework the p-card policy, dividing it into two parts: a high-level administrative policy, and a detailed p-card administrative guide. Both documents are currently in outline/draft form. In the meantime, Finance has incorporated several of the recommended items into quarterly p-card trainings and created a Citywide p-card email account for contact with department administrators. It also made an interim update to the p-card policy, which makes the Chief Purchasing Officer the final authority on p-card authorization, increased transaction limits, and all inappropriate p-card transactions. Target Date: Dec-2021 (Delayed From: Jun-2015)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#14-07 City Procurement Cards</p> <p>#03 To improve transparency, accountability, and legibility, the Finance Department should create a pilot program that:</p> <p>a) Begins the transition to online approvals, payment code entries, annotations and general finance coding (office supplies, travel, etc.);</p> <p>b) Considers requiring monthly statements of activity be signed by cardholders and approving officials to ensure that all transactions are authorized;</p> <p>c) Allows individual departments to collect, store, and submit receipts in PDF; and</p> <p>d) States that sufficient documentation of p-card purchases includes line item transaction detail stored in Access Online for a list of approved vendors (e.g. Office Max).</p>	FIN	Partly Implemented	The Finance Department and Information Technology Department (ITD) have been working with the City's Financial Management System (FMS) vendor and report that the integration solution needed to implement this recommendation may be possible. The integration would be between the City's p-card payment processor's online module (US Bank) and FMS. Previously, it was uncertain whether the two systems could be integrated, but the City's FMS vendor reported that one of its other clients also uses US Bank, suggesting that the two systems are compatible. Target Date: Dec-2022 (Delayed From: Jun-2015)
<p>#14-07 City Procurement Cards</p> <p>#07 The City Administration should ensure that p-card expenditures accurately categorize expenditures by type of budgetary purpose.</p>	FIN	Partly Implemented	In 2015, the Finance Department included this recommendation in the revised City Procurement Cards policy, which is being reworked into a policy and companion guide. Both documents are under senior staff review. Target Date: Dec-2021 (Delayed From: Jun-2015)
<p>#14-08 Development Services</p> <p>#15 To improve communication with project participants, PBCE should upgrade the online permit interface to provide relevant project information to anyone affiliated with the project.</p>	PBCE	Implemented	The new SJPermits.org portal includes information about permit process steps, which staff members are responsible for which steps, and the contact information of those staff members, and various informational fields for the public. All members of an applicant team can search for their project online to find this information and status of their projects. SJPermits.org is now mobile responsive, providing a better user experience on mobile devices.
<p>#14-08 Development Services</p> <p>#18 Eliminate the Construction &amp; Demolition Diversion Deposit.</p>	PBCE / ESD	Partly Implemented	ESD reports it is pursuing changes to enhance and consolidate the CDD and CALGreen compliance review programs to simplify refund processing, among other benefits. The CDD program is being evaluated as part of Climate Smart San Jose's Zero Waste Element, which will outline programmatic changes. According to the Department, it is continuing outreach to permit holders eligible for CDDD refunds. ESD plans to continue expanding outreach to disseminate information about the CDD programs. Target Date: Jun-2022 (Delayed From: Mar-2017)
<p>#14-08 Development Services</p> <p>#19 To increase accessibility of online fee estimation, PBCE should update and simplify the online fee calculator.</p>	PBCE	Not Implemented	The start of the next upgrade of the SJPermits.org portal, which will include the online fee calculator, has been delayed by a no-cost change order. The upgrade to the portal will take place in three stages with the fee estimation to be completed in the final release estimated to be deployed in late 2022. Target Date: Dec-2022 (Delayed From: Jun-2016)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#14-12 Accounts Receivable</p> <p>#16 The Finance Department should work with the Information Technology Department to: Improve the interface between department billing systems and Revenue Results so that key information, such as the service date and other details about the service or citation, that will aid in the collection process is transferred. Work with Planning, Building, and Code Enforcement and the Fire Department to develop an interface or some other means of transferring data from the departmental billing systems into Finance's collections software to better manage collections for these departmental billings.</p>	FIN / IT / PBCE / FIRE	Partly Implemented	Finance and the Information Technology Department (ITD) will look to address this recommendation as part of the City's efforts to centralize its various revenue management systems under one platform. Finance and ITD are in the process of issuing a request for proposal for a revenue management platform on which to support the City's portfolio of revenue-generating transactions. The initial implementation will begin with the City's Business Tax System, but the intention is to later include the revenue transactions of other City departments, including Planning, Building and Code and Enforcement and the Fire Department. Target Date: Dec-2022 (Delayed From: Jun-2018)
<p>#15-05 PRNS Fee Activity Program</p> <p>#01 PRNS should work with the Budget Office to:</p> <p>A) Reassess the purpose of the Fee Activity Program (including cost recovery targets),</p> <p>B) Provide reasonable justification for mid-year expenditure request,</p> <p>C) More clearly link revenues and expenses to their respective programs, and</p> <p>D) Determine which activities should be included in the Fee Activity Program.</p>	PRNS / CMO	Partly Implemented	PRNS and the Budget Office continue to refine a Fee Activity Program Description and Administrative Guidelines document to address this recommendation. The guidelines aim to: summarize the program's purpose; identify the main fee programs/lines of business (e.g., camps, leisure classes, ROCK, etc.); identify which cost components are included in the fee program; state the cost-recovery targets (which may vary year-to-year based on City objectives and market conditions); and describe the process by which corresponding revenues and costs are tracked and reported so as to clearly justify proposed and mid-year adjustments to the fee program. Budget and PRNS report that they are working together to formalize a consistent methodology to allocate fee-activity costs and revenues, which will help determine the cost-recovery rates for individual lines of business. Implementation of this recommendation has been delayed in the past due to challenges related to filling position vacancies and training staff; the interim transition of leadership staff within the Department; and the ongoing budget development and management challenges associated with the COVID-19 pandemic. As of August 2021, PRNS has hired a Senior Budget Analyst position to address the recommendations for the Fee Activity Program. Target Date: Dec-2021 (Delayed From: Jun-2016)
<p>#15-08 Golf Courses</p> <p>#01 To obtain more favorable contract terms, when the lease and management agreements expire, the Department of Parks, Recreation and Neighborhood Services should seek competitive proposals from potential golf course lessees/operators that lower the City's financial risks and grow customer usage.</p>	PRNS	Partly Implemented - Priority	The 2020-21 Adopted Operating Budget included the payoff of outstanding debt associated with the Los Lagos Golf Course. With the payoff of debt, the City can enter into a lease agreement for both the Los Lagos Golf Course and Rancho Del Pueblo Golf Course. The Department plans to bid all three municipal golf courses, including San Jose Municipal Golf Course ("SJ Muni"), in an RFP in 2022. Target Date: Dec-2022 (Delayed From: Dec-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#15-08 Golf Courses</p> <p>#05 To improve oversight of the golf courses and contracts, the Department of Parks, Recreation and Neighborhood Services should:</p> <p>A) Regularly audit Muni's gross revenues and capital improvement fun;</p> <p>B) Keep all golf records centrally and ensure they are obtained timely;</p> <p>C) Formalize the revised maintenance standard; and</p> <p>D) Formally approve the fees charged and discounts given to The First Tee and the schedule of access hours.</p>	PRNS	Partly Implemented	PRNS has been requesting financial audits of Muni's gross revenues since 2017, and has centralized golf records. Upon completion of the RFP process noted in the update for Recommendation #1, staff will include updated maintenance standards in new agreements. Subsequently, staff will work with the lessee to determine The First Tee's future fees, discounts, and access hours. Staff is currently reviewing maintenance standards in other similar agreements in preparation for future agreements. Target Date: Jun-2022 (Delayed From: Jun-2017)
<p>#15-09 Police Hiring</p> <p>#06 After ensuring appropriateness of content and sufficiency of oversight of the Law Enforcement Unit (LEU) Cadet Program, SJPD should enhance and expand the program to encourage San José residents to become San José Police Officers.</p>	PD	Partly Implemented	The Department created a Police Cadet classification which was approved by City Council in March 2017. The Administration will evaluate potential budget proposals to advance a cadet program in the context of the overall budget situation and competing funding priorities. Target Date: Jul-2024 (Delayed From: Dec-2017)
<p>#16-02 Street Sweeping</p> <p>#01 DOT's in-house street sweeping operation should stop emptying street sweepings onto the street.</p>	DOT	Partly Implemented	After the Public Works Fleet team completed developing specifications for a hook lift truck and bins, the procurement process was delayed due to the COVID-19 pandemic. The funds for the equipment have been included in the FY 2021-22 Adopted Budget, and the procurement process is expected to take place in FY 2021-22. Public Works anticipates delivery of the truck and bins by October 2022. Target Date: Oct-2022 (Delayed From: Jun-2017)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-02 Street Sweeping</p> <p>#05 DOT and ESD should deploy the new electronic inspection system and GPS-tracking devices to:</p> <p>A) Enable supervisory staff to track vehicle location, speed, and activity remotely;</p> <p>B) Link route conditions and problems, and street cleanliness to specific locations along street sweeping routes; and</p> <p>C) Include electronic tracking and inspection compatibility in future bids for contracted street sweeping services.</p>	DOT / ESD	Partly Implemented	<p>A) Implemented</p> <p>B) DOT hired a new Associate Construction Inspector (ACI) in April 2021 and is now fully staffed in the residential street sweeping inspection program. DOT reports that lower priority issues such as tree trimming and debris in the park strip may require more resources for sustained quick responses. For example, DOT reports that their arborist team needs to be expanded in order to adequately address issues such as tree trimming, and this will be evaluated in the FY 2022-23 budget process. (Partly Implemented)</p> <p>C) ESD and DOT staff partnered to complete negotiations with GreenWaste and executed an Amended and Restated Agreement effective January 15, 2021 through June 30, 2036. The Agreement includes new language that at the City's option, GreenWaste shall implement a GPS tracking and electronic inspection capabilities on street sweepers which allow for reporting obstructions available in a format compatible with existing City databases so that data between computer systems can be imported or exported without the need for custom translation software. If the City exercises this option, GreenWaste and City shall mutually agree upon the compensation rate for implementation. (Implemented) Target Date: Jun-2022 (Delayed From: Jan-2018)</p>
<p>#16-02 Street Sweeping</p> <p>#06 Based on staff input, route data, the results of past studies, and equipment needs, DOT should:</p> <p>A) Review and revise street sweeping schedules and routes;</p> <p>B) Consider additional enhanced sweeps in particularly dirty areas as funds and resources become available; and</p> <p>C) Develop a plan to periodically review street sweeping schedules and routes that consider street conditions.</p>	DOT	Implemented	<p>A) DOT previously reported they have reviewed and revised street sweeping schedules and routes to the extent that funding and resources allow. The residential street sweeping program maintains a once per month sweeping schedule as part of the current contract. (Implemented)</p> <p>B) DOT reports that the new GreenWaste contract allows for up to 20 enhanced sweeps per year, an 80% increase from the previous contract. However, enhanced sweeps were suspended in FY 2020-21 due to the COVID-19 pandemic and DOT Parking Compliance staff being assigned to alternate disaster service worker roles. DOT completed a recruitment in March 2021 to fill the permanent Associate Construction Inspector position assigned to assist with identifying obstructions. While Parking Compliance staff has discontinued most of their disaster service worker duties, DOT reports that the unit continues to experience a high vacancy rate. With limited staffing resources, pavement project tow support has been prioritized at this time, but as pavement projects are completed it is anticipated that Parking Compliance Staff will again be available to support enhanced sweeps in early 2022. DOT has also begun to use the SJ Bridge program to provide additional street sweeping support in areas with significant debris buildup along the curbs. (Implemented)</p> <p>C) In August 2020, DOT began holding monthly coordination meetings that include staff who oversee both the RSS and in-house programs. Sweeping routes and schedules are reviewed and adjusted, if needed, during these meetings. (Implemented)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#01 To improve the accessibility of volunteer opportunities to the City's residents, the Administration should develop and post on the City's intranet an outreach "how-to" guide for volunteer coordinators across the City with information on social media strategies and how to update the City's website and events calendar. It should also reference the Citywide Language Access Policy (once it is finalized).</p>	CMO	Partly Implemented	According to the Administration, implementation of the "how to" guide was delayed due to focus on the COVID-19 pandemic response; however, they now plan to prioritize it for the year. Currently, a "how-to" guide for volunteer coordinators across the City remains in draft form. This document will be rolled out in coordination with the Volunteer Policy. The Language Access Policy has been completed and has been uploaded onto the City's intranet site. The intranet site provides guidance and "how-to" information related to the Language Access Policy. Target Date: Dec-2021 (Delayed From: Feb-2018)
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#02 To ensure more consistent management of volunteer programs, the Administration should develop a Volunteer Policy to be included in the City Administrative Policy Manual that formally recognizes the value volunteers contribute and includes minimum standards for the management of volunteer programs. The policy should include guidance on the use of volunteer agreements; health and safety requirements, such as fingerprinting and TB testing; volunteer recognition; and other topics as necessary.</p>	CMO	Partly Implemented	In 2017, the Administration had an Encore Fellow develop a draft volunteer policy that outlines minimum standards for the management of volunteer programs, including fingerprinting requirements, TB testing, the use of volunteer agreements, and other health and safety requirements. In March 2018, a cross-departmental Volunteer Service Initiative Working Group was established to review the draft volunteer policy developed by the Fellow. The draft volunteer policy had been in final review, though staff delayed final approval to allow time to modify volunteer protocols related to large-scale, Citywide efforts such as BeautifySJ and Homeless Response. Final approval has been delayed due to the Administration's focus on the COVID-19 pandemic response. During the pandemic response, the City helped coordinate and track volunteers among local non-profits with Silicon Valley Strong, especially for food and necessities distribution. The Administration reports that they will be prioritizing implementation of the volunteer policy this year. Target Date: Dec-2021 (Delayed From: Feb-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#03 To assist City staff in managing volunteer programs, the Administration should create and post on the City's intranet a volunteer guidebook or "toolkit" as a reference for staff during the development and management of volunteer programs.</p>	CMO	<p><b>Partly Implemented</b></p> <p>-</p> <p><b>Priority</b></p>	<p>In 2017, the Administration had an Encore Fellow create a draft volunteer policy and identify best practices and tips that were the basis for a draft volunteer management guidebook. In March 2018, a cross-departmental Volunteer Service Initiative Working Group was established to review and add to the drafted Volunteer Management Guide. Through the Gen2Gen campaign, the Mayor's Office partnered with PRNS and community organizations on three service-oriented pilot programs, one outcome of which was the creation of a toolkit based on lessons learned and best practices. It is intended that this toolkit will provide insights to City departments on engagement and operational strategies related to volunteer programs, and inform the development of a volunteer guide or "toolkit" for staff during the development and management of volunteer programs. According to the Administration, implementation of the toolkit has been delayed due to focus on the COVID-19 pandemic response. However, during the pandemic response, the City helped coordinate and track volunteers among local non-profits with Silicon Valley Strong, especially for food and necessities distribution. The Administration reported that they will be prioritizing the toolkit implementation this year. Target Date: Dec-2021 (Delayed From: Feb-2018)</p>
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#04 The Administration should work with the departments of Parks, Recreation and Neighborhood Services, Environmental Services, and Transportation to coordinate efforts around place-based volunteer programs. In particular, the Administration should streamline the process and expand the options that allow volunteers to play an active role in cleaning and maintaining public spaces by:</p> <p>A) Developing a separate volunteer webpage for the City's place-based volunteer programs that includes (i) descriptions of the programs (ii) relevant contact information and (iii) specific directions on how to request materials and supplies. The website should also provide information to help groups interested in one-time clean up or similar events.</p> <p>B) Allowing volunteers to apply with multiple place-based programs at once.</p> <p>C) Identify resources to reactivate the Adopt a Street program and/or expand the types of spots that volunteers can adopt to clean or maintain, including storm drains and creek segments for which the City holds an easement.</p>	CMO / PRNS / ESD / DOT	Not Implemented	<p>The City's website update added a centralized page for volunteer opportunities, ordered by department and program. Currently, the City's website does not have a page dedicated to place-based volunteering. The purpose of this recommendation is to make it easy for residents to find opportunities in their neighborhoods (such as adopting a park or other localized volunteer programs), rather than searching individual programs for nearby opportunities. The Administration had reported that it was evaluating scope and costs related to advancing this recommendation more comprehensively and that in the meantime, departments listed in this recommendation would work together to leverage volunteer resources. Implementation has since been delayed due to the Administration's focus on the COVID-19 pandemic response, however, they plan to prioritize the implementation for this year. Target Date: Dec-2021 (Delayed From: Dec-2018)</p>



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#06 The Parks, Recreation and Neighborhood Services Department should provide broad oversight and management of its community center volunteer programs, including developing a volunteer recruitment strategy and standard policies and procedures that contain specific guidance on volunteer intake, ongoing assessments such as the tracking of hours, and the retention of key documents.</p>	PRNS	Partly Implemented	PRNS staff has drafted written guidelines for staff who work with volunteers across PRNS, including community centers, as well as a handbook for community center volunteers. These documents provide the overall program standards and include a recruitment strategy, policies and procedures, as well as specific guidance on volunteer intake, ongoing assessments, and the retention of key documents. As the Citywide effort to create a Volunteer Handbook is completed, PRNS plans to update its handbook, incorporating the Citywide rules and regulations. Next steps will be identifying site staff at each community center, training, and complete implementation. Target Date: Dec-2021 (Delayed From: Feb-2019)
<p>#16-05 South Bay Water Recycling</p> <p>#04 To sustain South Bay's operational and capital cost recovery status in the future, ESD should:</p> <p>A) Renegotiate the revenue sharing terms of the Integration Agreement to allow the City to access South Bay revenue to fund South Bay's projected capital costs sooner than is projected to occur under the Agreement as currently written; and</p> <p>B) Secure a recycled water wholesale cost of service study that can be used to maximize the ability to maintain cost recovery for South Bay.</p>	ESD	Partly Implemented	<p>A) For the last several years SBWR staff have been in discussions with the Santa Clara Valley Water District (Valley Water) regarding the terms of the Integration Agreement, implementation of the Strategic Master Plan, and other agreements between the City and the District. Additional Council direction was given in April 2021, but according to the Department, Valley Water has not been responsive to requests to negotiate.</p> <p>B) ESD participated in a statewide rate study sponsored by the WaterReuse Research Foundation, which was completed in December 2018. South Bay Water Recycling reviewed the study findings to determine an optimum fee study structure that will address program needs. At this current time, SBWR reports wholesale rates are sufficient to cover program needs. Pending a new Comprehensive Agreement with Valley Water, final modifications to the Integration Agreement, and/or increasing maintenance costs for aging infrastructure, the wholesale rate structure will be periodically re-evaluated. Target Date: Dec-2023 (Delayed From: Jan-2017)</p> <p>Potential Budget Savings: At the time of the audit, we estimated the City would be able to invest an additional \$2.8 million annually for needed reliability projects if the City renegotiated the Integration Agreement with the Water District.</p>
<p>#16-07 Office of the City Clerk</p> <p>#02 To increase the transparency of legislative actions taken, the City Clerk's Office should decrease the turnaround time to create and post action minutes. Specifically, the City Clerk should:</p> <p>A) Establish and document a more aggressive timeframe for approval of minutes by Council,</p> <p>B) Reconsider whether both Council meeting synopses and action minutes are still required, and C) Bring to the City Council recommendations to update the Open Government Resolution to reflect these changes.</p>	CLERK	Partly Implemented	The City Clerk reports that significant progress has been made to improve the efficiency of completing minutes and the backlog is almost completed. Target Date: Dec-2021 (Delayed From: Apr-2017)

Report and Recommendations	Dept (s)	Current Status	Comments
#16-07 Office of the City Clerk  #03 To ensure records of City Council proceedings are posted timely, the City Clerk should utilize existing technology to streamline the approval and posting of synopses and/or minutes.	CLERK	Not Implemented	The Office of the City Clerk reports that an RFI will soon be released regarding agenda and minutes management software, and that the new software may be implemented in Spring 2022. Target Date: Jun-2022 (Delayed From: Apr-2017)
#16-07 Office of the City Clerk  #13 The City Clerk's Office should develop policies and procedures for the collection of outstanding lobbyist and other fees, which should be approved by the Department of Finance and be in accordance with General Guidelines for Accounts Receivable / Revenue Collection (City Policy 5.3.6).	CLERK	Partly Implemented	Since the audit, there was a change from quarterly to weekly reporting for lobbyist reports, and the City Clerk began to revisit how late fees were assessed. However, the City Clerk reports that due to increased workload because of COVID-19 impacts, work on these procedures has been paused.. Target Date: Jun-2022 (Delayed From: Mar-2017)
#16-07 Office of the City Clerk  #20 The City Clerk's Office should: A) Develop consistent methodologies to track and calculate the performance measures for its statutory responsibilities that are reported in the City's Operating Budget, B) Identify staff leads tasked with maintaining these performance measures and reporting them on a frequent basis to the City Clerk, and C) Develop action plans to address areas where results do not meet established targets or expected results.	CLERK	Partly Implemented	The Office of the City Clerk has documented methodologies for calculating performance measures, assigned team leads to maintain these performance measures, and was working on addressing part (c) of the recommendation. The Office of the City Clerk reports that due to increased workload because of COVID-19 impacts, work on this item has been paused. Target Date: Jun-2022 (Delayed From: Oct-2017)
#16-08 Police Overtime  #04 To reduce the risk that police officers are fatigued due to excessive City police work or secondary employment, the San José Police Department should: (a) Define the circumstances under which overtime is exempt from work limits in the Duty Manual; and (b) Review and enforce work limits for scheduled City overtime and secondary employment.	PD	Partly Implemented	The Police Department's overtime expenditures were slightly lower in FY 2020-21 than FY 2019-20 (down from \$47 million to \$45 million) but the number of overtime hours worked increased from 450,000 hours to over 500,000 hours. The Department reports that at this time it will address overtime internally without updating the Duty Manual. The Department is in the process of tracking secondary employment hours by managing it through eResource. Once a 30 hour overtime threshold has been met, officers will not have any further access to pay jobs for the work week. Updates to eResource are pending. Target Date: Oct-2021 (Delayed From: Jun-2018)
#16-08 Police Overtime  #05 To facilitate supervisory review of time worked, the San José Police Department should centralize the tracking of all work done in the Department and through secondary employment in a centralized software package. To do this, the Department should obtain additional information technology expertise to fully deploy eResource or an alternative software solution.	PD	Partly Implemented	The Department is in the process of updating eResource to address the concerns raised by the audit. These updates are pending. Target Date: Oct-2021 (Delayed From: Feb-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-08 Police Overtime</p> <p>#08 While vacancies remain high and operational needs require high use of overtime, the Police Department should allow more overtime to be worked for pay and/or require the first ten hours of overtime to be worked for pay.</p>	PD / OER	Partly Implemented  (Subject to meet and confer)	The Department has not made any changes to the General Orders related to overtime worked for pay that were in place at the time of the audit. According to the Department the current General Order provides flexibility to the Chief to manage the overtime budget over the year. Implementing this recommendation would still allow for this flexibility. The purpose of the recommendation was to limit the future liability that results from high comp time balances. Since the time of the audit, compensatory time balances have continued to grow. We continue to be concerned about the use and growth of compensatory time and the associated long-term liability for the City. See recommendation #09. Target Date: Dec-2021 (Delayed From: Jun-2018)
<p>#16-08 Police Overtime</p> <p>#09 To reduce the liability associated with high comp time balances, the San José Police Department should: A) Lower the allowable comp time balance from 480 hours, B) Explore a comp time buy-out program, and C) Consider a mandatory comp time balance buy-out upon promotion between sworn ranks.</p>	PD / OER	Not Implemented  (Subject to meet and confer)	<p>The City and the POA have begun discussions related to compensatory time off. While some MOA changes related to overtime usage have been made, the City and the POA have agreed to continue discussions related to compensatory time, including, but not limited to a possible buy down of an employees' outstanding compensatory time balance. Comp time liability has grown significantly since we did the audit--from \$13 million to \$27 million currently. Additionally, the payout for excess compensatory time (employees that reach 480 hours of accrued compensatory time get paid out) have also grown--from \$270,000 in FY 2010-11 to \$19.3 million in FY 2020-21. Controlling the growth in compensatory time usage remains a significant concern. Target Date: Jul-2022 (Delayed From: Jun-2019)</p> <p>Potential Budget Savings: At the time of our audit, we estimated that the City would save \$227,000 in future costs by buying out 10% of employee comp time balances, and \$138,000 by buying-out balances upon promotion.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-08 Police Overtime</p> <p>#10 The Police Department should enforce the requirement for employees to lower their comp balance to 240 hours by the end of the year or submit plans to reduce balances.</p>	PD	<p><b>Partly Implemented</b> - <b>Priority</b></p>	<p>The number of sworn employees with comp time balances over 240 hours has increased from 410 at the time of the audit to 723 as of July 1, 2021. Further, the number of sworn employees with a balance of 480 hours increased from 220 to 482. The Department issued General Order #2017-031 reminding staff that they are responsible for bringing comp time balances to 240 hours or less by December 2017. On May 19, 2021, the Department issued Memo #2021-015 again reminding staff of the requirement to bring their compensatory time balances back to the 240-hour maximum level by the end of the calendar year in accordance with the memorandum of agreement (MOA) with the POA. The Department reports that due to low staffing levels, time off is limited for sworn staff in Patrol, and therefore, they may not be able to meet this requirement. The Department continues to work with the Office of Employee Relations to reduce overall compensatory balances and make changes in the MOA to assist staff in maintaining compensatory time balances under the maximum 240-hour. Also see recommendation #8 and #9. Target Date: Jul-2022 (Delayed From: Mar-2018)</p> <p>Potential Budget Savings: At the time of our audit, we estimated the cost of allowing employees to carry balances over 240 hours while granting wage increases was about \$740,000.</p>
<p>#16-08 Police Overtime</p> <p>#12 In order to ensure consistent enforcement, the City Administration should develop written policies on when and how much police overtime should be reimbursed by special events including political campaigns and when those requirements can be waived.</p>	PD / OED	Not Implemented	<p>The Office of Economic Development and Cultural Affairs advises that it met with the Police Department to identify key Police Department staff and other departments to begin work on this recommendation. Target Date: Jun-2022 (Delayed From: Jun-2017)</p> <p>Potential Budget Savings: Reimbursement for the two campaign events referenced in the audit would have saved the City \$140,000.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-10 The Apartment Rent Ordinance</p> <p>#03 To improve communication and outreach, the Housing Department should:</p> <p>A) Adopt a targeted approach to tenants and landlords,  B) Improve language accessibility,  C) Improve its lobby space,  D) Improve websites, and  E) Expand its online offerings including an on-line look-up tool, and the ability to file petitions online.</p>	HSG	<p><b>Implemented</b></p> <p>-</p> <p><b>Priority</b></p>	<p>A) Beginning in FY 2019-20, the Housing Department implemented an outreach plan and is working to target outreach meetings and content for all stakeholders within the community, including the Rental Rights Campaign for tenants and landlord workshops for Realtor Associations, Property Managers, and Neighborhood/Owners Associations.</p> <p>B) Printed communications are available in English, Spanish, and Vietnamese, as well as online webinars posted on the Department website.</p> <p>C) Initially the Department planned a buildout of its lobby space, but is currently not pursuing that due to COVID-19. The Department reports that it is staffing its front desk on the 12th floor until June 2022. Moreover, it has procured a tablet for the lobby and is creating an electronic staff directory (including translated versions) for visitors to easily search and call Housing staff for assistance.</p> <p>D) With the launch of the new City website, the Housing Department's site has been updated to simplify searches and offer better user navigation.</p> <p>E) The Department has obtained approval from the City Attorney's Office to accept petitions via email and the submission process has been implemented. In addition, customers can view a map of rent stabilized apartments online.</p>
<p>#16-10 The Apartment Rent Ordinance</p> <p>#15 To ensure customers are provided necessary services, the Housing Department should develop a strategic plan for the Rental Rights and Referrals Program that outlines desired goals and outcomes, and establishes measures of program effectiveness.</p>	HSG	Partly Implemented	<p>After presenting the Rent Stabilization Program Strategic Plan to the Housing and Community Development Commission on April 22, 2021 and conducting stakeholder outreach, staff have identified a need to conduct additional community engagement to gain a more robust perspective on how the Strategic Plan can better assist residents in San Jose. The item was dropped from the May 20, 2021 Neighborhood Services and Education Committee due to the priority to focus on the eviction moratorium extension. Staff plans to return with the Plan to the Neighborhood Services and Education Committee in Fall 2021. Target Date: Jun-2022 (Delayed From: Jun-2018)</p>
<p>#16-11 Mobile Devices</p> <p>#01 To ensure appropriate controls over City-owned mobile devices (including cellphones, smartphones, hotspots, tablets, and laptops), the Administration should require departments to label City-owned mobile devices and maintain current inventories. The inventories should include the type of device, serial number, the name and ID of the employee to whom the device is assigned, the phone number (if applicable), the date of issuance, and the date returned (if applicable).</p>	IT	Partly Implemented	<p>ITD's guidelines and recommendations for managing mobile devices and the City Administrative policy on Procurement of Laptops and Tablets (1.7.8) was presented to City departments. IT has been working with departments to label assets as City-owned property. Meanwhile, inventory data upload to the central asset database is ongoing. Out of the 19 departments, two are still pending. Target Date: Dec-2021 (Delayed From: May-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-11 Mobile Devices</p> <p>#02 To ensure that cellphone stipends are cost-effective and reflect current technologies and the usage and needs of City employees, the Information Technology Department should work with the Finance Department to:</p> <p>A) Provide guidance for departments on how to assess the cost-effectiveness of offering a stipend as opposed to issuing a City-owned device;</p> <p>B) Update the eligibility criteria for stipends to reflect business need (i.e., the same criteria for City-owned devices) and delegate approval to the department level; and</p> <p>C) Review and adjust the amount and structure of the City's cellphone and data stipends.</p>	IT / FIN	Implemented	The Mobile Communications and Devices Policy (1.7.4) has been signed and posted. The policy contains criteria for assigning mobile devices and issuing stipends according to business need and requires all requests to be approved by the Department before submitting to ITD for review. Employees are not permitted to have both a City-issued device and a stipend, unless approved by the CMO or designee. The policy also specifies that any employee in Unit 99 currently receiving the technology stipend is not eligible for any voice and/or data stipend, and the CMO may review and adjust the stipend rate as deemed appropriate. ITD has provided guidance in its Guidelines for Managing Mobile Devices on the cost-effectiveness of cellphone/data stipends compared to City-issued devices.
<p>#16-11 Mobile Devices</p> <p>#06 The Information Technology Department should develop a Mobile Device Policy to supersede the current Cellular Telephone Policy (1.7.4) to:</p> <p>A) Reflect the use of all mobile devices by employees across the City, including both personal and City-owned cellphones, smartphones, tablets, hotspots, and laptops.</p> <p>B) Clarify the specific duties and responsibilities of mobile device liaisons within departments who are tasked with managing such devices. The new policy should cross-reference with the City's Information Security Policy, the Remote Access Policy, and any other relevant policies that relate to mobile devices.</p>	IT	<p><b>Implemented</b></p> <p>-</p> <p><b>Priority</b></p>	The Mobile Communications and Devices Policy (1.7.4) has been signed and posted and addresses use of phones, tablets, and hotspots. It references the Information Security Policy, Remote Access Policy, and several other policies. As written in the policy, Mobile Communications and Device Liaisons are responsible for coordinating department acquisition, asset management, usage monitoring, billing, and policy adherence in coordination with the Finance Department and ITD.
<p>#16-11 Mobile Devices</p> <p>#07 To ensure consistent application of the Mobile Device Policy, the Information Technology Department should develop and provide periodic training for department liaisons on their specified administrative duties and responsibilities outlined in the policy for both City-issued and personal devices used for City business.</p>	IT	Partly Implemented	As the new Mobile Communication and Device Policy is being drafted to account for the transition to FirstNet, ITD is planning to continue training later this year for mobile device liaisons on FirstNet devices, which can communicate on a band dedicated for emergency use. Guidelines will be updated on an as-needed basis going forward. Target Date: Nov-2021 (Delayed From: Dec-2017)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-11 Mobile Devices</p> <p>#08 To address information security risks associated with mobile devices, the Information Technology Department (IT) should develop, and include in the Mobile Device Policy, guidelines and procedures for both City-issued and personally owned devices that identify:</p> <p>A) The degree of access for various types of mobile devices and employee classifications in connecting to either cloud based City services or to the City's network;</p> <p>B) Any applicable support expectations by IT for personally owned mobile devices used for City business;</p> <p>C) Any applicable user conditions, especially if personally owned devices may be enlisted on a mobile device management software; and</p> <p>D) Any applicable IT controls over mobile devices, such as remote locking or wiping of device in case of theft or loss. Any authorization forms, such as the Remote Access Authorization Form, should be updated accordingly.</p>	IT	Implemented	The Mobile Communications and Devices Policy (1.7.4) has been signed and posted. The policy cross-references the Remote Access Policy, which shows that ITD can authorize and configure personal devices by establishing secure access to the City's network (VPN access). The policy notes that any employee using a mobile device for City purposes is required to comply with the California Public Records Act and City policies for City business-related usage of their mobile devices, including archival of data. In addition, ITD has the authority to require minimum-security standards that apply to mobile devices within Mobile Device Management (MDM) software to protect City data. Mobile devices that are stolen or lost will be disconnected from the City's network, remotely wiped, and/or locked by ITD.
<p>#16-11 Mobile Devices</p> <p>#09 The Information Technology Department should:</p> <p>A) Develop user friendly guidelines on mobile device information security and include it as part of the Mobile Device Policy.</p> <p>B) Establish periodic information security awareness trainings for all personnel who access the City's network on City issued and personal devices.</p>	IT	Implemented	The Mobile Communications and Devices Policy (1.7.4) has been signed and posted. In a February 2020 Smart Cities memo, the Administration identified "detailed communications around interim guidelines for users" on appropriate usage, device configuration, and support as a requirement "for deployment at scale." Since then, IT has created user-friendly set up guides for IOS and Android phones on FirstNet, which include password creation and MDM activation. IT has implemented annual cybersecurity awareness trainings, which address information security, for all City employees.
<p>#16-11 Mobile Devices</p> <p>#11 To reduce ordering turn-around and demands on staff time, we recommend the Administration:</p> <p>A) Allow departments to order mobile devices (cellphones, smartphones, hotspots, tablets, and laptops) and accessories directly, through appropriate citywide purchase orders;</p> <p>B) Develop a process for IT or department staff to configure devices to meet information security standards in the Mobile Device Policy.</p> <p>C) Update City policy accordingly</p>	IT	Implemented	The Mobile Communications and Devices Policy (1.7.4) has been signed and posted. This policy reflects ITD's role in the management of the mobile device ordering process through approved vendors. According to ITD, departments with internal IT support can order standard laptops and tablets directly; all departments can order phones and accessories online with approvals by department management. ITD has updated its SharePoint site so departments may request FirstNet phones and tablets and laptops. ITD rolled out two phased pilots of the FirstNet devices, including a process to configure mobile device management (MDM) software on the devices to support security updates. As the FirstNet devices are implemented Citywide, IT is configuring the devices to comply with existing City and departmental security, data privacy, and retention policies.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-11 Mobile Devices</p> <p>#15 In order to ensure that the City and/or departments control costs related to mobile device, the Information Technology Department (IT), in consultation with the Finance Department where applicable, should:</p> <p>A) Administer Citywide review of mobile device bills for usage and potential cost savings (e.g., zero- and low-use, plan optimization, minute and data pooling, etc.), potentially through the acquisition and utilization of telecommunications expense management software.</p> <p>B) Clarify the management structure between IT and other departments in its updated Mobile Device Policy (see Recommendation #6)—including some level of departmental bill review—and provide procedures and annual trainings to responsible individuals.</p> <p>C) Ensure that appropriate individuals within departments receive vendor reports and communications.</p> <p>D) Ensure that all wireless service users in the City are informed of their plans' features and limitations.</p>	IT / FIN	Partly Implemented	<p>The Mobile Communications and Devices Policy (1.7.4) has been signed and posted. The policy notes that "ITD shall use best practices to monitor and optimize telecom expenses with City departments" and describes the role of departments in reviewing bills to ensure proper use and cost-effectiveness. ITD has centralized procurement, assignment, and billing of FirstNet devices Citywide. It has also procured a wireless telecommunication expense management solution and provided department staff access in May 2021, along with training. Further training will be provided through November 2021. Target Date: Nov-2021 (Delayed From: May-2018)</p> <p>Potential Budget Savings: During the audit, we identified \$189,000 per year in potential savings from eliminating zero or low use lines, use of pooled plans for devices with low data consumptions, and other active management of telecommunications expenses.</p>
<p>#17-02 Office of Equality Assurance</p> <p>#01 To better administer the prevailing and living wage compliance programs, the Office of Equality Assurance should:</p> <p>A) Procure a software solution to automate payroll review to free up staff time for other responsibilities (e.g., site visits, review of supplemental documentation);</p> <p>B) Adopt a risk-based strategy for conducting site visits and reviewing supplemental documentation to efficiently verify the accuracy of information in submitted payrolls; and</p> <p>C) Ensure the program has sufficient supervisory resources following the implementation of Recommendation #3.</p>	OEA	Partly Implemented - Priority	<p>OEA has pursued a combination of strategies to better administer the prevailing wage and living wage compliance program, including piloting a software platform to automate payroll reviews, receiving electronic payroll files (previously these were hard copy documents), using Office 365 tools to manage workflow, and using Smartsheet to develop dashboards to track infractions and violations in real time. OEA has also increased its supervisory capacity with the hiring of a Senior Analyst in July 2021. Unfortunately, the pilot for automatic payroll reviews was not successful in meeting OEA's needs and PW is looking at additional options to manage payroll reviews or free staff up for site visits and other work. Target Date: Jun-2022 (Delayed From: Jun-2018)</p> <p>Potential Budget Savings: We estimate that a software solution would free time for two FTE to be redeployed to other OEA functions that are currently understaffed. Redeploying these staff will potentially reduce the need to hire additional staff to administer OEA responsibilities.</p>



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-02 Office of Equality Assurance</p> <p>#04 To ensure continuity and consistency in practices, the Office of Equality Assurance should document the processes involved in:</p> <p>A) Determining wage requirements for a prevailing or living wage project and notifying Finance of the wage determination; B) Receiving purchase order information from Finance and sending documents to contractors for living wage projects; C) Conducting pre-construction meetings and sending documents to contractors for prevailing wage projects; D) Performing prevailing wage and living wage payroll reviews, including how to determine the wage rate based on labor compliance documents and how to review inspector logs; E) Escalating enforcement when labor compliance documents are not received, such as sending notices of noncompliance and withholding of payment (see Recommendation #5); F) Calculating restitution for prevailing, living, and minimum wage, and notifying required parties of violations; G) Completing the director review of violation appeals; H) Closing a project after completion; I) Conducting a minimum wage review; J) Conducting outreach for race-neutral disadvantaged business enterprise (DBE) projects and evaluating DBE good faith efforts for race-conscious projects; and k. Completing an Americans with Disabilities Act complaint investigation.</p>	OEA	Not Implemented	Public Works is in the process of documenting the standardized procedures, and refining processes and timelines for all items identified in this recommendation. Target Date: Dec-2021 (Delayed From: Jun-2018)
<p>#17-02 Office of Equality Assurance</p> <p>#05 To avoid inconsistencies in the treatment of contractors, the Office of Equality Assurance (OEA) should document staff's decision-making criteria for:</p> <p>A) Timelines for payroll review process;</p> <p>B) Escalation of enforcement and appropriate use of enforcement tools;</p> <p>C) When payrolls are to be requested for service and maintenance projects; and</p> <p>D) The minimum value of a contract at which OEA must be notified.</p>	OEA	Partly Implemented	<p>A) The Office of Equality Assurance is now working with a prevailing wage requirement bid package that specifies what documents contractors are required to provide to the City, and what steps City Staff take related to payroll records and payment. (Implemented)</p> <p>B) The Office of Equality is currently working on the proper enforcement tool. This tool will ensure compliance with City, State, and Federal Rules and Regulations. OEA expects the tool to be completed by December 2021. Currently, OEA issues Notices of Noncompliance and withholds payments when contractors are non-responsive. (Partly Implemented)</p> <p>C) OEA reports that although it has a standard procedure, it has to constantly ask contractors for documentation for service and maintenance projects. (Partly Implemented)</p> <p>D) Due to capacity issues, OEA is currently only monitoring projects with budget amount of \$100,000 or more. OEA reports that as capacity increases, it will increase monitoring of smaller projects. Target Date: Dec-2021 (Delayed From: Jun-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-02 Office of Equality Assurance</p> <p>#08 Once the City Council determines the desired scope of the City-wide contracting program, the local hire/apprentice utilization program, and Americans with Disabilities Act compliance program, the City should assign the resources needed to perform these responsibilities.</p>	OEA	Partly Implemented	Staff reported on the status of Local Hire/Apprentice Utilization for City CIP projects to the Community & Economic Development Committee in April 2021. Due to a focus on other policy work such as Wage Theft and COVID-19 Paid Sick Leave, progress on local hire work was slowed. However staff was able to provide significant information on trends and statistics at the April 2021 CED Committee meeting. At this time, Local Hire/Apprentice Utilization is not being worked on as it is on the Citywide Roadmap backlog of policy priorities. In the FY 2020-21 June budget message, the Mayor directed \$150,000 to support staffing with the City Manager's Office to gather input from stakeholders and develop a work plan for the creation of a new Office of Disability Affairs. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#17-04 Open Government</p> <p>#01 The Administration should create an Open Government policy to be included in the City's Administrative Policy Manual. The policy should state the purpose and goals of the Open Government Ordinance and Resolution and cross reference with the specific procedures outlined in the resolution and other City policies as necessary.</p>	CMO	Partly Implemented	The City Attorney's Office has reviewed a draft administrative policy that broadly outlines responsibilities under, and makes reference to, the Open Government Resolution. The Open Government Manager and the Office of Employee Relations will continue to coordinate on its finalization. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#17-04 Open Government</p> <p>#02 The Office of Economic Development, in coordination with the City Attorney's Office, should develop a policy and procedures to clarify whether and how to disclose cost-benefit information for provisions of economic benefit to private entities when: the provision is a part of a larger incentive program to be issued to entities that meet specified criteria, multiple provisions may benefit a single entity within a short timeframe, the City provides services on behalf of/for a private entity, and the entity receiving the benefit is a non-profit or public agency.</p>	OED	Not Implemented	Office of Economic Development (OED) staff has met with the City Attorney's Office to discuss the audit recommendations. OED reports that staff recommendations are being developed on how to address subsidy requirements. OED will draft a policy memo for inclusion in the City Policy Manual that identifies the Administration's actions going forward. OED reports that it plans for multiple departments to be included in this effort. Target Date: Dec-2021 (Delayed From: Jun-2018)
<p>#17-04 Open Government</p> <p>#04 The Administration should implement procedures to track public subsidy and tax abatement agreements to ensure compliance with state and Open Government after-action reporting requirements and financial statement disclosures.</p>	OED / FIN	Partly Implemented	OED held a cross-department meeting on the topic of subsidy disclosures in Fall 2020, which included the City Attorney's Office, to review AB 562 economic development subsidy disclosure requirements and discuss the structure and management of a City webpage as the mechanism for tracking disclosure postings. That webpage has been launched, though continued refinements are ongoing. OED also has developed a department spreadsheet tracker to centralize information and relevant disclosure triggers/milestones that will exist in OED's SharePoint files. OED reports that, following its discussion in June 2021 with the CAO, OED staff are developing a plan to complete past-due after-action reports. Target Date: Dec-2021 (Delayed From: Jun-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-04 Open Government</p> <p>#08 The City Council should consider a change to the Revolving Door Ordinance that mitigates potential conflicts of interest and simplifies the rules surrounding former designated employees who work for non-profit organizations as lobbyists or on legislative or administrative matters which they worked on as part of their City employment. Potential policy directions include:</p> <p>A) Narrowing the non-profit exemption to 501(c)(3) organizations, regardless of whether the organization had received support from the City; or</p> <p>B) Striking the non-profit exemption, such that the same rules apply whether former designated employees go to work for non-profit or for-profit organizations.</p>	<p>CAO / CLERK</p>	<p>Partly Implemented</p>	<p>The City Council referred this recommendation to the Board of Fair Campaign and Political Practices (formerly the Ethics Commission) for further consideration, prior to the item's return to Council. The Board discussed the recommendation at its January 10, 2018 meeting, and decided to recommend that Council strike the non-profit exemption. This recommendation was referred to the February 12, 2020 Rules &amp; Open Government Committee meeting. The Committee voted to incorporate the recommendation, along with other Title 12 recommendations from the Board, into the Mayor's Biennial Ethics Review. After the Review, the item will return to the full City Council. Target Date: Dec-2021 (Delayed From: Jun-2019)</p>
<p>#17-04 Open Government</p> <p>#09 The Administration should update City policies and guidance on the retention and disposition of electronic records and City email to reflect the current technological environment and allow for more effective management of public records. This includes the storage of records to efficiently respond to public records requests and the disposition of records per approved retention schedules.</p>	<p>CMO</p>	<p>Partly Implemented</p>	<p>The purpose of this recommendation was to address the growth of electronic records, including old emails, many of which are not public records, but are routine, mass, or unsolicited, as well as preliminary draft documents. The Administration reports that it had met with several departments to review current practices and discuss future approaches to address electronic record management. The Administration will continue to explore approaches to the disposition and retention of email and social media content. Target Date: Dec-2021 (Delayed From: Jun-2018)</p>
<p>#17-04 Open Government</p> <p>#10 To better manage electronic records on the City's enterprise file share and email systems, the Administration should consider a combination of strategies, including but not limited to:</p> <p>A) Developing procedures for department records administrators to conduct electronic file clean outs to dispose of unnecessary electronic files as well as those saved past the City's approved retention schedules.</p> <p>B) Periodic reminders to City staff to clean out their email folders, along with guidance on what is a public record that should be saved, and what is not.</p>	<p>CMO</p>	<p>Partly Implemented</p>	<p>The Open Government Manager worked with the Human Resources Department in December 2019 to update their records retention schedule. The Open Government Manager will continue to work with departments to revise their records retention schedules and discuss processes for the destruction of records, which include electronic files for clean out. As of 2021, the Administration issued an RFQ to obtain software specific to the management of electronic records. The Administration reports the RFQ is in the final stages and the software is expected to be implemented by December 2021. The Open Government Manager reports having met with multiple departments to determine existing procedures, with a goal of creating a policy that is uniform across the City. Following the finalization of this policy, the Open Government Manager plans to conduct regular trainings. Target Date: Dec-2021 (Delayed From: Dec-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-06 Audit of Retirement Services</p> <p>#05 The Retirement Boards should establish formal budget adoption policies and procedures that include clear delegation of authority to staff to spend plan assets subject to certain limits defined by the Boards.</p>	RET	Closed	The Office of Retirement Services (ORS) has prepared formal budget adoption policies and procedures which were approved by the Retirement Boards in August 2018. The policy states that the budget document will be forwarded to the City Council as a Manager's Budget Addendum (MBA) and will be accompanied by the most recent Investments Fee Report, as well as an estimate of the investment-related fees for the fiscal year. This practice has been followed for the past three budget cycles. However, the policy includes a definition of investment fees that is in conflict with the opinion of the City Attorney's interpretation of the language of the voter-approved Measure G. The Office of Retirement Services agrees that there is a conflict and is working to find a solution to the differences in the interpretation in their policy. Because the practice of issuing the annual MBA has been memorialized for the past three years, we recommend closing this recommendation despite that conflict.
<p>#17-06 Audit of Retirement Services</p> <p>#06 The City Manager's Office should update the City's Operating Budget to: a) include total employee and employer retirement contributions in the City's Operating Budget as summary or historical information, b) cross-reference its separate approval of the Retirement budget, and c) modify the presentation in the Operating Budget's Source and Use statements to display investment expense.</p>	CMO / RET	Closed	The City's operating budgets for the past three fiscal years have incorporated a Summary of Contributions to Retirement Funds that has included total employee and employer retirement contributions (part a of the recommendation). The FYs 2019-20 and 2020-21 Adopted Operating Budgets have included as appendices the Retirement Services Proposed Budgets as submitted to the retirement boards. The Office of Retirement Services (ORS) chapter of the operating budget also includes a note that clarifies that the budget figures reflected in that section account for only a small portion of the total budget for the ORS and adds a cross reference to the appendices and the Summary of Contributions to Retirement Funds noted previously (part b of the recommendation). The retirement funds' source and use statements in the City's operating budget currently do not break out investment expenses; investment income is presented net of investment. As an alternative, ORS has been submitting a Manager's Budget Addendum for the past three fiscal years (MBA #13 for FY 2021-22) with its proposed administrative budgets for the two plans, along with its annual investment fee reports. Although the specific actions are not what is recommended in part c of the recommendation, the intent of greater transparency about the ORS budget and investment fees has been met with the disclosures in the annual MBA process. We recommend closing this recommendation.
<p>#17-06 Audit of Retirement Services</p> <p>#11 The City Council should clarify their expectations of the Council representatives to the Retirement Boards, including the type of report and frequency of reporting that would be most useful to the Council.</p>	COUNCIL	Partly Implemented	The CMO has developed a draft policy and is in the process of bringing it forward to Council for consideration. Target Date: Dec-2021 (Delayed From: Dec-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-06 Audit of Retirement Services</p> <p>#15 The Retirement Boards should adopt a formal set of performance measures to be included in the retirement plans' budgets for both plan administration and the investment program. The Retirement Boards should provide the City Council with the opportunity to review and provide comment on the adopted performance measures.</p>	RET	Partly Implemented	The Office of Retirement Services reports that the performance measures in the current City Operating Budget process will be discussed at a future Joint Personnel Committee (JPC) meeting for further discussion and alignment with the current performance metrics of the CEO and CIO. The JPC has approved the CEO performance metrics but still has yet to approve the CIO and Investment staff metrics. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#17-06 Audit of Retirement Services</p> <p>#24 The Office of Retirement Service should upgrade their website to promote transparency and ease of navigation for stakeholders and plan members to find information.</p>	RET	Implemented	The Office of Retirement Services (ORS) updated their website to be more user-friendly in June 2021. ORS reports that ongoing improvements and updates will be part of their new business model.
<p>#17-06 Audit of Retirement Services</p> <p>#25 To improve transparency, the Office of Retirement Services should post plan charters and policies, as well as audio recordings of committee meetings, online.</p>	RET	Partly Implemented	Retirement Services reports that it began updating the contents of its website in June 2017. Audio recordings for most of the committee meetings have been posted online on a go-forward basis since June 2017. However, some audio recordings for committee meetings since then have not yet been posted. There is now a link to a Confluence site on the Retirement Services website that hosts the plan's policies and charters. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#18-01 Pensionable Earnings</p> <p>#01 The Office of Employee Relations and the City Attorney's Office should clarify the term FLSA premium pay in Municipal Code Section 3.36.020.3 C.</p>	CMO / CAO	Partly Implemented	The Office of Employee Relations and the City Attorney's Office drafted changes to section 3.36.020 of the San José Municipal Code clarifying the term FLSA premium pay. Staff presented the amendment to the Board for the Police and Fire Retirement Plan for comment in September 2021 and plan to bring the amendment to the City Council for review and approval. Target Date: Dec-2021 (Delayed From: Jun-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#01 The City should reconsider how and who should manage the PAL facilities and associated activities, and revise its 2007 agreement with the PAL organization accordingly.</p>	PRNS / PD	Partly Implemented - Priority	PRNS, SJPD, and the City Manager's Office worked to identify alternatives to PAL's current service delivery model. The Neighborhood Services and Education Committee, in February 2020, approved PRNS to move forward with a hybrid PAL/PRNS governance structure. A new agreement is being developed. In the interim, Police staffing has been removed and reassigned in the Police Department. Additionally, PRNS has worked with PAL on board development and establishing a structure for implementing the hybrid operational model. On January 5, 2021, the City Council approved guiding principles for the operating model, which staff intend to use to negotiate a contract that details PAL operations and performance measures. Target Date: Dec-2021 (Delayed From: Fall-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
#18-02 Audit of the San José Police Activities League  #02 The City should clarify its relationship with the PAL Board, including the role of the Council liaisons and the role of police staff on the PAL Board.	PRNS / PD	Partly Implemented	The City Council, in January 2021, approved guiding principles and revised roles and responsibilities for PAL, PRNS ,and SJPD. These will be included in the new agreement with PAL. Target Date: Dec-2021 (Delayed From: Dec-2019)
#18-02 Audit of the San José Police Activities League  #03 The San José Police Department should inform and encourage officers regarding available volunteer opportunities at PAL.	PD	Partly Implemented	Due to COVID-19, there have been very limited PAL activities since Spring 2020. SJPD and PRNS are working on developing a plan for coordinating police volunteer opportunities at PAL once the new agreement is in place. Target Date: Dec-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League  #04 The San José Police Department should determine if some opportunities for police officers to work with youth in PAL programs can be paid.	PD	Not Implemented	According to the Department, under the current staffing and budgetary restrictions, SJPD has been focusing on providing police core services to the city. Target Date: Dec-2021 (Delayed From: Jun-2020)
#18-02 Audit of the San José Police Activities League  #05 The City should ensure that the PAL organization complies with the City's requirement to submit an annual audit and regularly follow-up.	PRNS	Partly Implemented	PAL posted its 2015 and 2016 audits on PAL's website. Additionally, PRNS reports PAL completed the overdue audits for 2017, 2018, and 2019, and is working on 2020. The next contract with PAL will continue to require annual financial audits in accordance with guiding principles approved by the City Council on January 5, 2021. The status of this recommendation will be reviewed again, once the anticipated new agreement is finalized. Target Date: Dec-2021 (Delayed From: Jul-2021)
#18-02 Audit of the San José Police Activities League  #07 The City should require that the PAL organization prepare and submit an annual budget.	PRNS	Partly Implemented	PAL had completed annual budgets for FY 2018-19, FY 2019-20, and FY 2020-21. PRNS plans to include monthly meetings for joint planning and review of programs and key performance indicators in the negotiated agreement with PAL. Status of this recommendation will be revisited once the anticipated new agreement between the City and PAL is finalized. Target Date: Dec-2021 (Delayed From: Jul-2021)
#18-02 Audit of the San José Police Activities League  #10 The City should work with the PAL Board to track and comply with revenue sharing provisions in its 2007 Agreement.	PRNS	Not Implemented	Status of this recommendation is contingent on the determined structure and potential new agreement between the City and PAL. Target Date: Dec-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League  #11 The City should require compliance with its rules on naming and advertising rights, and require policies and procedures to require written agreements regarding signage.	PRNS	Not Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to include compliance with City rules on naming and advertising rights and the development of a sponsorship program that complies with City policies in the anticipated new agreement with PAL. Target Date: Dec-2021 (Delayed From: Jun-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
#18-02 Audit of the San José Police Activities League  #12 The City should require a comprehensive strategy to maximize fundraising opportunities through naming and advertising rights.	PRNS	Not Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to require the development of a sponsorship program, strategic plan, and fundraising goals. Target Date: Apr-2022 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League  #13 The City should either require PAL board members to sign the City's volunteer code of ethics, or work with the City Attorney's Office to eliminate that provision from the Agreement.	PRNS	Not Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to either include a requirement for the board members to sign the City's volunteer code of ethics in the anticipated new agreement with PAL, or eliminate this provision from the agreement. Target Date: Dec-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League  #15 The City should enforce agreement terms regarding when the fields can be used and when they are allowed to "rest".	PRNS	Partly Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS developed a maintenance and capital plan matrix for field use and non-use (i.e., 'rest'). They anticipate this provision will be included in the anticipated new agreement with PAL. Target Date: Dec-2021 (Delayed From: Jun-2020)
#18-02 Audit of the San José Police Activities League  #16 The City should formalize the fees that are charged for use of the facilities including the required documents to be completed. Further, address whether free use of the PAL facilities is allowed and what waivers would be required when providing that free use.	PRNS	Partly Implemented	PAL has established a standardized fee schedule; however, this does not address free use at the PAL facility or what waivers are required. PRNS plans to address this in the potential new agreement. Status of this recommendation will be revisited once a potential new agreement is finalized. Target Date: Dec-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League  #17 PRNS and Public Works should review the facilities, develop a list of long-term and short-term priority improvements, and determine the funding mechanism to address those improvements.	PRNS / PW	Partly Implemented	PRNS and Public Works are finalizing a master plan for the PAL facility. PRNS and Public Works had developed a list of short-term capital improvement priorities. The FY 2019-20 Adopted Capital Budget included \$3 million for installing an artificial field, other associated improvements, and funding to complete a master plan for the PAL site. Several minor projects and improvements have been completed. According to the Department, additional funding is required in order to complete the artificial turf field renovation. Target Date: Dec-2022 (Delayed From: May-2020)
#18-02 Audit of the San José Police Activities League  #18 The City should require a process to ensure consistent and cost-equivalent fees and expenditures among all districts.	PRNS	Partly Implemented	PAL equalized soccer registration rates for all districts in 2018, and provided uniforms to each district. The Police Department reports that PAL worked to refund many participants the \$27 cost of uniforms, and \$25 to participants who had a parent volunteer. A process is still required to ensure consistent and cost-equivalent fees and expenditures in the future. In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to require the development of fee and scholarship schedules for equitable access to PAL programs, aligned with other PRNS fees and charges. Additionally, PRNS reports that the initial plan will be included as part of the anticipated strategic plan. Target Date: Apr-2022 (Delayed From: Fall-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
#18-02 Audit of the San José Police Activities League  #19 The City should enforce fingerprint background checks of all adults serving in a supervisory or disciplinary role over children to ensure that all coaches and relevant volunteers comply with the California Public Resource Code 5164 and relevant City policies.	PD / PRNS	Partly Implemented	Since publishing the audit, the SJPD Police Chief reported that "the DOJ/SMS [Department of Justice] system has flagged one volunteer, who has since been suspended. Over the last six months, the PAL Custodian of Records has received several subsequent arrest notifications from DOJ; however, these coaches were determined to no longer volunteer/coach for PAL". Depending on future responsibilities, status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Dec-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League  #20 The City should require maintenance of an updated roster of all players, coaches, and other relevant volunteers participating in each of PAL's activities.	PRNS	Partly Implemented	After the audit, PAL updated rosters of all players, coaches, and assistant coaches participating in each of PAL's activities for 2018 and 2019. PRNS plans to include this requirement in the anticipated new agreement with PAL. Target Date: Dec-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League  #23 The City should require formal agreements with the various sports leagues that govern the relationship and responsibilities of each of the leagues.	PRNS	Not Implemented	The requirements for formal agreements with various sports leagues continue to be developed based on the guiding principles approved by the City Council on January 5, 2021 and will be outlined in the negotiated contract. Target Date: Dec-2021 (Delayed From: Dec-2019)
#18-03 Department of Public Works  #01 To better allocate training and non-project costs to capital projects, Public Works and the City Manager's Budget Office should appropriate a portion of capital staff time for such charges in the Public Works Program Support Fund (150), and allocate such costs to projects through the Public Works Cost Allocation Plan.	PW / CMO	Partly Implemented	In coordination with the City Manager's Budget Office, Public Works allocated \$50,000 for training costs within the Public Works Program Support Fund (150). The Department is continuing to assess non-project costs for the purpose of allocating these costs to Fund 150. Target Date: Dec-2021 (Delayed From: Jul-2019)
#18-03 Department of Public Works  #02 Public Works can better ensure that lessons learned improve future performance by: a) Ensuring that project completion reports containing lessons learned are distributed to department and client staff, b) Regularly meeting with client departments to share lessons learned from projects, c) Including standard language in the project completion report, following the lessons learned section, that ensures department manuals and project guidance are updated if necessary	PW	Partly Implemented	Public Works has developed client meeting agenda templates that include sections to discuss Project Completion Reports and Lessons Learned, and has also updated its project completion report templates to capture whether Department manuals and project guidance need to be updated as a result of a project's lessons learned. Meetings with client departments to discuss lessons learned are held prior to project initiation and throughout the project. The Department has had to place project completion reports on hold to allow staff to focus on project delivery which has been challenged by the work environment resulting from COVID-19. Target Date: Dec-2021 (Delayed From: Dec-2019)



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-03 Department of Public Works</p> <p>#05 To support consistent project management delivery, knowledge transfer during staff turnover, and accessibility for future reference, Public Works should use a standard electronic file structure for capital projects and determine what files should be kept to ensure that key documents are maintained for each phase of the capital delivery process.</p>	PW	Partly Implemented	The Department plans to use its Capital Project Management System (CPMS) to help standardize electronic file structures and store key project documents, and will provide staff record retention guidelines as part of its CIP Project Management training. Public Works is also transitioning to a standardized and centralized shared drive system to further assist staff in maintaining key project documents. Target Date: Dec-2021 (Delayed From: Jul-2019)
<p>#18-03 Department of Public Works</p> <p>#06 To ensure consistent project delivery, Public Works should:</p> <p>a) Update its project management manual using existing project management guidelines and checklists as well as current practices,</p> <p>b) Expand the manual to include guidance for each project phase and include duties of all divisions that are responsible for project delivery, and</p> <p>c) Establish a process to regularly review and update the manual as needed.</p>	PW	Partly Implemented	The Department is seeking additional resources to implement this recommendation. Staff initially assigned to the recommendation have been reassigned to other areas in response to the Department's COVID-19 response. The Department does report that it has taken steps to improve internal processes and departmental communication by creating a new project delivery checklist for both of its capital project divisions (CFAS and THS) and establishing bi-weekly roles and responsibility meetings between the design and construction inspection teams. Target Date: Dec-2021 (Delayed From: Mar-2019)
<p>#18-03 Department of Public Works</p> <p>#07 Public Works should review and update its Standard Details and Specifications, in coordination with the City Attorney's Office and other departments, to ensure it contains up-to-date specifications, and establish a process to regularly review and update the manual as needed.</p>	PW / CAO / DOT / ESD	Partly Implemented	Public Works expects to complete this recommendation by December 2022, and reports that several technical construction specifications and details have been updated. The Department reports that sections to the specifications have been updated and are currently under review. Target Date: Dec-2022 (Delayed From: Dec-2020)
<p>#18-03 Department of Public Works</p> <p>#08 To improve its metrics used to assess performance, Public Works should:</p> <p>a) Clarify that the performance metrics "on-budget" and "or schedule" for capital projects refer to the construction phase of project delivery, and</p> <p>b) Track the categories of change orders over time across all projects.</p>	PW	Partly Implemented	Public Works has clarified that 'on-budget' refers to the entire life cycle of a capital project and that 'on-schedule' refers only to the construction phase of project delivery. The Department tracks individual project change orders as part of its project closeout process, and will attempt to monitor change orders across all of its capital projects through its Capital Project Management System (CPMS). Target Date: Dec-2021 (Delayed From: Mar-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-04 Audit of Vehicle Abatement</p> <p>#02 To improve customer service to My San Jose app requests, the Department of Transportation should prioritize the timeliness of visiting a vehicle for an initial visit. This could include continuing to use contracted staff to perform initial visits.</p>	DOT	Partly Implemented	During the COVID-19 emergency, vehicle abatement within DOT evolved to focus on inoperable, hazardous, or extremely blighted vehicles. This includes proactive patrolling as well as responding to resident reports. Staff report this hybrid approach is the most cost effective to address the most egregious vehicles. Under this approach, all SJ311 requests are reviewed; however, only cases where the vehicles appear to be inoperable, hazardous, or extremely blighted are currently being investigated (i.e., receive first visits). This approach was presented to the City Council during the FY 2021-22 Proposed Budget Study Sessions and approved in the FY 2021-22 Proposed Operating Budget funded from the American Rescue Plan for an annual cost of \$450,000 (see page VIII-379 within the Transportation Department section). In the recent past, vehicle abatement was primarily funded from the General Purpose Parking Fund, but because of the pandemic's financial impact on parking revenues, the program is funded on a year-to-year basis in the American Rescue Plan Fund. Since the program is not funded on an ongoing basis, the Administration anticipates re-evaluating the hybrid approach framework and funding levels as part of the FY 2023-24 budget development process. The Administration estimates that to respond to all SJ311 requests – of which relatively few end up as abatements – and to proactively patrol to address the most egregious vehicles would be \$1.9 million annually. Target Date: Jun-2023 (Delayed From: Jul-2019)
<p>#18-04 Audit of Vehicle Abatement</p> <p>#12 The Police Department should:</p> <p>a) revisit the calculation of impound costs and recommend that the City Council approve an adjustment to the vehicle release fee accordingly, and</p> <p>b) bring forward to the City Council a recommendation for the City to institute a subsidized vehicle release fee for low-income vehicle owners.</p>	PD	Partly Implemented	After reviewing the vehicle release fee, the Police Department adjusted the fee to \$122 per vehicle; the Council adopted the revised fee, effective February 2019. The Administration reports that due to the City's emergency response to COVID-19, it delayed its RFP for a technology platform and contract administration for tow services. Following implementation of this platform, the Administration plans to use data gathered through this platform to review costs and evaluate a subsidized vehicle release fee. Target Date: Mar-2022 (Delayed From: Jun-2019)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#01 To inform future capital investment decisions and better understand the subsidy value to reuse service providers, PRNS should work with Public Works to periodically assess the condition and calculate the deferred maintenance of reuse facilities.</p>	PRNS	Partly Implemented	PRNS has hired a Senior Maintenance Worker and a Building Management Administrator to support the management and infrastructure assessments needed for the Neighborhood Center Partner Program (formerly the Community Center Reuse program) and other PRNS facilities. PRNS has been coordinating with Public Works and is currently working on a Request for Proposals (RFP) for building assessments. Target Date: Jun-2024

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#02 To better track the net costs of individual facilities in the Reuse Program, PRNS should improve tracking of maintenance costs and revenues, periodically review the City's cost for re-use facilities, and assess the continued value of reuse sites.</p>	PRNS	Partly Implemented	PRNS has hired a Building Management Administrator (BMA) to develop a system to periodically track the net costs of individual reuse facilities as well as maintenance costs and revenues. The BMA is evaluating available database systems that will be best suited to review work orders and associated facility operational and maintenance costs of reuse community centers. Once service provider's contracts are executed and programs are established, the BMA will track and assess a full year of facility costs. PRNS is currently in contract negotiations with 16 service providers. Target Date: Dec-2021
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#03 To provide policy makers with information about the Reuse Program in all districts, PRNS should include information on contracted and actual reported services by program activity across all service providers and facilities in their annual reuse updates.</p>	PRNS	Partly Implemented	PRNS provided an update to the Neighborhood Services and Education Committee (NSE) on August 2021 regarding the results of an RFQ released in January 2021. Included in the RFQ were expectations for program performance reporting such as monthly, annual, and biannual reports from service providers to submit their service hours of program deliverables and customer satisfaction survey results. PRNS is currently in contract negotiations with 16 service providers. Once contracts are executed and NCPP centers (formerly reuse) are reopened, PRNS plans to provide an update on program performance to NSE after a full program year. Target Date: Sep-2022 (Delayed From: Jul-2020)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#04 PRNS should establish and implement procedures to regularly monitor reuse service providers. The procedures should identify roles and responsibilities for staff regarding contract management including establishing a master contract file with key documents, site visits, collecting performance reports, and tracking performance.</p>	PRNS	Partly Implemented	PRNS has developing Monitoring Guidelines that outline procedures for monitoring service providers including roles and responsibilities. They also established a procedural system where all contract monitoring forms and program tracking workbooks are stored. Additionally, Contract management is done through a database of service provider information which has been created to include contract status, contract expiration, and insurance policy expiration for each site. PRNS is currently in contract negotiations with service providers. This recommendation will be considered implemented after contracts are executed and monitoring has begun. Target Date: Dec-2021 (Delayed From: Jul-2020)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#05 PRNS should revise reuse service provider performance reports to require information about changes in programming and staffing; and establish guidelines for approving changes in scopes of service, or implementing corrective actions if a reuse provider is not adhering to the terms of the agreement.</p>	PRNS	Partly Implemented	PRNS added language to the contract template and General Information Requirements to establish an approval process for changes in scope of service or programming by service provider, along with a form for service providers to request such changes. PRNS is currently negotiating contracts with 16 service providers and will use the contract template in their finalized agreements. This recommendation will be considered implemented when these agreements are finalized and executed. Target Date: Nov-2021 (Delayed From: Jul-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#06 PRNS should immediately update all property use agreements, in coordination with the City Attorney's office, for all service providers under the reuse program.</p>	PRNS	Partly Implemented	Due to the COVID-19 pandemic, most NCPP sites (formerly reuse) have not been operational. Based on the results of the RFQ (released in January 2021), PRNS is currently in contract negotiations with 16 service providers. PRNS reports they currently have three temporary facility-use agreements with providers conducting essential services but plans to transition their agreements to longer term agreements along with the selected service providers from the RFQ. Target Date: Nov-2021 (Delayed From: Dec-2019)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#07 PRNS should immediately collect active certificates of insurance from all service providers under the reuse program.</p>	PRNS	Partly Implemented	Active certificates of insurance are required in every current agreement with reuse service providers. In 2020, PRNS had outstanding certificates of insurance from two service providers and were still in the process of updating agreements for other service providers. Based on the RFQ in January 2021, PRNS is under contract negotiations with 16 service providers. This recommendation will be considered implemented when all contracts are executed and active certificates of insurance are collected. Target Date: Dec-2021 (Delayed From: Dec-2018)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#08 PRNS should immediately ensure verification or certification of background checks of reuse providers' paid and unpaid staff, in accordance with the reuse agreement.</p>	PRNS	Partly Implemented	PRNS is currently under contract negotiations with 16 service providers, with this requirement in place for all agreements. Once contracts are executed and NCPP centers (formerly reuse) are reopened, proof of verification or certification of background checks of service provider paid and unpaid staff will be verified at the annual mandatory site visits. This recommendation will be considered implemented after verification of compliance is completed for all service providers. Target Date: Dec-2021 (Delayed From: Dec-2019)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#09 To ensure proper licensing of daycare programs, including after school programs, PRNS should modify its reuse agreements to require service providers to either provide proof of licensure or certify they are exempted from licensure under the Department of Social Services guidelines.</p>	PRNS	Partly Implemented	PRNS staff has finalized the "Contract Exemplar" template agreement that will go into effect with service providers selected during the RFQ released in January 2021. The new template includes requirements that agencies providing license-exempt childcare will have all employees and volunteers registered with the State Department of Social Services Trustline Registry, with language specifying that failure to register any employee or volunteer may result in the immediate termination of the Agreement. Proof of Trustline registry will be reviewed at the annual mandatory site visits where agencies will be required to report verification of all program and financial records, background checks, and program license compliance. Once NCPP centers (formerly reuse centers) are reopened, PRNS plans to enforce this requirement at the annual mandatory visits. Target Date: Dec-2021 (Delayed From: Dec-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#10 To ensure service providers in the reuse program are abiding by the provisions of the City's Reuse Policy, PRNS should:</p> <p>a) Implement corrective actions for current service providers who offer fees above City standard rates, report revenues not being reinvested in reuse facility programs, rent facilities out on their own behalf, or provide benefits solely to members, and</p> <p>b) Develop procedures to review, on an annual basis, reuse providers' fee levels; revenues and expenses; and whether any benefits are offered solely to members and implement corrective actions.</p>	PRNS	Partly Implemented	PRNS has completed part (b) of the recommendation and developed monitoring tools to accompany the improved monitoring and compliance standards of the program. This includes a Site Visit Interview, Site Visit Checklist, a formalized Change in Subcontractor form, as well as an agency workbook that incorporates monthly reports, biannual and annual desk reviews, a financial workbook, and program narratives. For part (a) of the recommendation, the Department has developed terms and guidelines and corresponding forms for implementing corrective action plans for agencies out of contract compliance. This includes service providers who offer fees above City standard rates and receiving other benefits that are not being reinvested in NCPP (formerly reuse) facility programs. PRNS is currently under contract negotiations with 16 selected service providers from the RFQ released in January 2021. Part (a) of the recommendation will be considered implemented when contracts are executed, including whether they contain corrective actions based on the criteria listed in the recommendation. Target Date: Dec-2021 (Delayed From: Jul-2020)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#11 To account for the differences between satellite and neighborhood reuse facilities, PRNS should create a new standard reuse agreement for neighborhood sites that revises the scope of financial and program reporting requirements to allow for more efficient reporting and monitoring.</p>	PRNS	Implemented	The program is no longer differentiating between neighborhood and satellite facilities. PRNS is currently under contract negotiations with 16 selected service providers from the RFQ released in January 2021. As a part of the contract, the Department is incorporating simplified performance expectations and reporting requirements for all service providers, including roles and responsibilities by site.
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#12 PRNS should establish targeted minimum standards for performance and open hours for satellite centers and work with current providers or potential providers from the satellite reuse pool to bridge gaps at satellite centers that do not meet those targets.</p>	PRNS	Partly Implemented	PRNS has established operation hours standards set to reflect a minimum of 45 hours per week minimum for all service providers; of total operating hours, at least 67% must be direct service hours; indirect service hours must not exceed more than 33% of total direct and indirect service hours. These are listed in the "Agency Responsibilities" section of the General Information Requirements (GIR) included in the RFQ released in January 2021. PRNS is currently under contract negotiations with 16 selected service providers and will be incorporating these standards in the agreement. This recommendation will be considered implemented after contracts are finalized and executed. Target Date: Nov-2021 (Delayed From: Jul-2020)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#13 PRNS should ensure that all organizations receiving free or subsidized rent have a current property use agreement and be formalized under the reuse program to ensure consistency.</p>	PRNS	Partly Implemented	A couple of service providers are delivering essential services at NCPP centers (formerly reuse). These providers have temporary agreements with the City. The Department is currently under contract negotiations with 16 selected service providers based on the NCPP RFQ released in January 2021. Target Date: Nov-2021 (Delayed From: Dec-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#14 To more efficiently book meeting spaces, PRNS should utilize its online recreation software to track schedules of service providers or other users of reuse facilities.</p>	PRNS	Implemented	PRNS has input service provider schedules into ActiveNet and determined that it is efficient and helps prevent double bookings. The Department is using this method for tracking service schedules now and prospectively.
<p>#18-07 Audit of the City's Homeless Assistance Programs</p> <p>#07 To analyze the effectiveness of the City's homeless assistance efforts, the Housing Department should use HMIS to:</p> <p>a) Aggregate City of San Jose data by strategy area (rapid rehousing, permanent housing, crisis response, and prevention) and report on key performance indicators including: exits to permanent housing, returns to homelessness, number of participants enrolled per strategy area; and</p> <p>b) Compare the performance of the City's homeless assistance by strategy area to identified targets and the performance of the CoC on a semi-annual basis.</p>	HSG	Partly Implemented	The Department reports that the Homeless Response Team Analyst completed HMIS training and is working closely with agencies to monitor performance and data entry into HMIS. Moreover, it reports that the grants development officer is also trained and has started pulling reports quarterly from HMIS. July 2022 will be a full year of pulling the HMIS data for analysis. Target Date: Jul-2022 (Delayed From: Aug-2019)
<p>#18-07 Audit of the City's Homeless Assistance Programs</p> <p>#11 To effectively manage monitoring activities and utilize monitoring results to improve project delivery of its homeless response grants, the Housing Department should:</p> <p>a) Develop monitoring procedures including an annual monitoring plan, grantee performance summary, and upload monitoring reports and risk assessment to the City's grants management system;</p> <p>b) Conduct on-site monitoring visits for each homeless assistance contract at least every two years as has been described in its annual action plan; and</p> <p>c) Compare grantee progress reports against HMIS reported data on a semi-annual basis to ensure the accuracy of grantee reported performance metrics.</p>	HSG	Partly Implemented	<p>a) The Department has developed monitoring policies, procedures, and templates to conduct monitoring visits.</p> <p>b) The Department created an annual monitoring plan for 2018-19 and completed monitoring for its 30 contracted agencies between March and August 2019. Monitoring has been delayed since Spring 2020 because of the COVID-19 pandemic. The City is in the process of contracting with a consultant to assist with monitoring efforts and has been in negotiations with a vendor since March 2021. According to the Department, if it is unable to settle on terms of the contract, it will move on to the vendor with the next highest score from the RFP.</p> <p>c) The Department has been granted access to the County's HMIS system. The Department reports staff have been trained and are comparing it with grantee progress reports. Target Date: Jul-2022 (Delayed From: Jul-2020)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-10 Audit of Towing Services</p> <p>#01 To provide a method to address violations, the City should include in future towing services agreements:</p> <p>a) An escalating penalty structure of liquidated damages, suspensions, and contract termination. Liquidated damages should be increased over time.</p> <p>b) Provisions requiring towing contractors to respond to another tow zone in case of a tow refusal or suspension (with a different timeliness standard).</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Jun-2022 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#03 The City should issue a new RFP for the towing services agreements, taking into consideration the issues identified and recommendations made in this report.</p>	PBCE	Not Implemented	Due to the City's emergency response to ongoing, competing Council Policy Priorities, the Administration delayed its RFP for a technology platform and contract administration for tow services. Staff anticipates to release the RFP proposal for tow software and contract administration, including the option to subcontract directly with tow operators, in late 2021. Target Date: Jun-2022 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#04 The City should consider allowing contractors to submit proposals for a contract fee, paid by the contractor to the City per towed vehicle, as part of the Request for Proposal process. The amount of the contract fee should be evaluated along with other aspects of a potential contractor's proposal.</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. Target Date: Jun-2022 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#05 In future towing services agreements, the City should continue the junk vehicle reimbursement program or, in conjunction with Recommendation #4, request that proposed contract fees account for the costs of junk vehicle disposal.</p>	PBCE	Partly Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in March 2021 to ensure continuity of tow services. Staff anticipates that the issues which warranted a junk vehicle reimbursement program will be addressed as part of the tow software and contract administration RFP and new City Generated Tow Services Delivery Model as appropriate. Target Date: Jun-2022 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#06 The City Administration, in consultation with appropriate departments, should establish clear guidelines for the appropriate disposal of hazardous waste and junk vehicles.</p>	PBCE	Partly Implemented	On June 25, 2019, City Council approved a second amendment to the tow services agreements to clarify hazardous waste disposal and documentation requirements in order for towing contractors to be eligible for compensation. The Administration intends to develop additional guidelines for disposal of junk vehicles as it moves forward with a new RFP and service delivery model. Target Date: Jun-2022 (Delayed From: Jul-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
#18-10 Audit of Towing Services  #09 The City should modify future towing services agreements to allow towing contractors to have tow yards located outside of their assigned zones, such as anywhere within the City limits.	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. Staff report that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Jun-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services  #10 The City should consider additional changes to future towing services agreements, such as: a) Specifying that tow yard capacity must be sufficient, and having respondents propose tow yard capacity; b) Allowing towing contractors to engage in private business towing; c) Specifying that the number of tow trucks must be sufficient; and/or d) Redrawing the tow zone boundaries such that they have an equal number of expected tows.	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP for tow software and contract administration in late 2021. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in March 2021 to ensure continuity of tow services. Target Date: Jun-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services  #11 The City should require towing contractors to submit all information as specified in the City's towing services agreements (including claimed vehicles), regardless of whether payments are missed or late.	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. The Administration extended its existing requirements in an amendment to the City Generated Tow Services Agreements which was brought to Council in March 2021. Target Date: Jun-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services  #12 In future towing services agreements, the City should require towing contractors to provide tow records in an electronic format or consider requiring the use of a towed vehicle database system (either procured by the City or by towing contractors with access granted to City staff).	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. Staff report that the requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. The Administration extended its existing requirements in an amendment to the City Generated Tow Services Agreements to Council in March 2021. Target Date: Jun-2022 (Delayed From: Jul-2020)



Report and Recommendations	Dept (s)	Current Status	Comments
#18-10 Audit of Towing Services  #13 In future towing services agreements, the City should clarify the collection process for the contract fee.	PBCE / FIN	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in March 2021, which continued the reduced \$0 compensation fee and did not modify the existing collection requirements. Target Date: Jun-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services  #14 To reduce time required to oversee contract terms, in future towing services agreements the City should charge one consolidated fee to towing contractors based on the number of towed vehicles.	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020, which reduced the contract fee to \$0. In March 2021, the Administration brought forward an amendment that continued those terms. Target Date: Jun-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services  #15 For improved oversight over the towing services agreements, the administration of the contract should be consolidated in the Police Department with an evaluation of the resources needed to perform this responsibility.	PD	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in late 2021. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in March 2021 to ensure continuity of tow services. Staff report that the Police Department currently does not have staffing or capacity to support the administration and management of City Generated Tow Services agreements. As part of the 2022-2023 annual budget process, the Police Department Fiscal Unit, in coordination with PBCE, intends to explore proposals to secure the required staffing and resources to support contract administration as appropriate. Target Date: Jun-2023 (Delayed From: Jul-2020)
#19-01 Audit of 9-1-1 and 3-1-1  #02 Fire Communications should pull regular performance reports and monitor average answering times.	FIRE	Not Implemented	The Fire Department reports that a hiring freeze exemption was granted for the Fire Communications Analyst position and the hiring process is underway. The Analyst will be tasked with formalizing the Fire Communications performance measure reporting process and ensuring reports are generated and distributed at regular intervals. Target Date: Jun-2022 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#05 To increase focus on outreach and recruiting for Communications staff, Police Communications and Fire Communications should each develop a recruiting plan for their respective divisions, and explore opportunities for collaboration and joint recruitment opportunities.</p>	PD / FIRE	Partly Implemented	Police Communications continues to collaborate with the Police Sworn Recruiting team. One Communications staff member is assigned full-time to the Police Sworn Recruiting Unit. The Department reports that both units continue to work together to establish a written recruitment plan. The Fire Department is recruiting for a Fire Communications Analyst position who will assist in developing a formalized recruitment plan. The Police Department and the Fire Department report that they have collaborated together in a past recruitment where the Police Department notified the Fire Department that they had more applicants on their eligibility list than they could hire due to limited capacity. Through coordination with Human Resources, those candidates who applied for the Police Department positions were given an option to join the Fire Department hiring process which was in progress at the time. Target Date: Jun-2022 (Delayed From: Jun-2021)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#06 The Police and Fire Department should utilize external marketing firms to bolster marketing efforts to recruit communications staff for both Police and Fire staff.</p>	PD / FIRE	Partly Implemented	The Fire Department is currently recruiting an analyst who will develop a formalized recruitment plan that will guide their use of an external marketing firm (see Recommendation #2). For the majority of the fiscal year, the Police Recruiting Unit had a primary marketing vendor, Civilian Inc., and used the vendor to recruit for both sworn and civilian positions. The Department reports that the use of an external marketing firm was instrumental in increasing the number of applications for all positions. At one point in time, the Department had to close the hiring cycle due to having too many applicants in the process. However, the contract with Civilian Inc. has expired. Since losing the marketing firm in April, the Department reports receiving approximately half the number of applications per week. The Police Department is currently working on procuring another contract for FY 2021-22 to ensure that this resource remains available to assist with recruiting efforts and will seek ongoing funding for the Recruiting Unit to maintain advertising. Target Date: Jun-2022 (Delayed From: Jun-2021)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#07 The Police and Fire Departments should work with the Public Works Department to make closer parking options available to Communications staff that work night shifts.</p>	PD / FIRE	Partly Implemented	The Police Department continues to offer interior parking spots for Police Communications Personnel working on the swing and night shifts. This provides staff with secure parking that is near the building. An improvement project is underway in which the parking lots on the southwest corner of N. San Pedro Street and Mission Street are to be surrounded by chain-link fence. The fence will be secured by Department card readers, have pedestrian gate access on the north side, and vehicle gate access on the east side. This will create a secured area for Communications staff to park their vehicles for all shifts. When this is completed, parking will be secure, but will not address the "closer parking option" recommendation. Target Date: Jun-2022 (Delayed From: Dec-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
#19-01 Audit of 9-1-1 and 3-1-1  #09 To retain qualified staff that are more inclined to call taking versus dispatch, the Administration should explore the creation of a call taker position in the Fire Department.	FIRE	Partly Implemented	The Fire Department reports that staff have received a draft report from Mission Critical Partners, the vendor which performed the Fire Communications Workforce Optimization Study. This study provides analysis on the staffing levels and call taking capacity. The Fire Department is currently working with the City Manager's Office to finalize the report. Target Date: Jul-2022 (Delayed From: Jun-2021)
#19-01 Audit of 9-1-1 and 3-1-1  #12 To remove report-taking responsibilities from emergency call takers, the Police Department should assess and potentially distribute report-taking responsibilities that could be handled by (a) the City Customer Contact Center, (b) police officers on modified duty, (c) retiree rehires, or (d) Community Service Officers.	PD	Partly Implemented	The Police Department uses retiree rehires for call-taking roles, including TRAC, but the Department considered this an interim solution. The Department stated that use of Customer Contact Center employees would require further research. The Department reports that two call-takers transitioned to the Community Service Officer (CSO) position, and both have either expressed an interest in being extra help or are working as extra help for call-taking (subject to their current chain of command approval). Target Date: Jun-2022 (Delayed From: Jun-2020)
#19-01 Audit of 9-1-1 and 3-1-1  #13 To lessen SJPD Communications Center staff workload and provide the public with additional service/reporting options, the Police Department should publicize online reporting options to the community and review current online reporting options and determine if additional reporting can be handled online.	PD	Not Implemented	Online reporting is available at <a href="http://www.sjpd.org/reportingcrime/onlinereport/">http://www.sjpd.org/reportingcrime/onlinereport/</a> . However, the Department reports that further online reporting will take more work than originally anticipated. Target Date: Jun-2022 (Delayed From: Jun-2020)
#19-01 Audit of 9-1-1 and 3-1-1  #16 Police non-emergency services should provide information and translation services for customers who do not speak English.	PD	Partly Implemented	The Police Department reports that it has offered interpretation services for non-emergency calls. However, the Department does not offer interpretation services for police reports by phone, citing resource and time constraints. The Department anticipates interpretation services will be reviewed for telephone reporting following the transition of these calls out of the Emergency Operations Center. Target Date: Jun-2022 (Delayed From: Jun-2020)
#19-02 Employee Benefit Fund Administration  #01 The Human Resources Department should: A. Establish policies and procedures for monitoring all transfers, revenues, and expenditures in the Benefit Funds, and B. In coordination with the Budget Office, formalize fund balance and reserve targets.	HR	Implemented	In coordination with the Budget Office, Human Resources formalized and documented fund balances and reserve targets for the Benefit Funds and developed policies and procedures for monitoring the Benefit Funds.
#19-02 Employee Benefit Fund Administration  #02 The Administration should work with the City Attorney's Office to determine allowable uses of interest earnings and excess balances in the Employee Health Fund (fund 161).	HR	Implemented	Human Resources and the Finance Department have reconciled the excess fund balance (\$40,000) in Fund 161 and transferred the money to Fund 160 for distribution to employees. The disbursement to employees was made in the spring of 2021.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-03 Development Noticing</p> <p>#01 Planning should propose updates to Council Policy 6-30 that set realistic goals for the timing of on-site notices, and require evidence of on-site posting prior to setting a hearing date.</p>	PBCE	Not Implemented	According to the Administration, the implementation of this recommendation is dependent on staffing resources and Council prioritization. According to the Administration, the City's response to the COVID-19 pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)
<p>#19-03 Development Noticing</p> <p>#02 To ensure neighborhood associations are properly notified about new development proposals:</p> <p>A. The Administration should develop a list and map of neighborhood association contacts and create a mechanism for associations to add and update contact information.</p> <p>B. Planning should use this list and map to proactively notify neighborhood groups on proposed developments to involve interested parties early in the development review process.</p>	CMO / PBCE	Partly Implemented	PBCE created a Neighborhood and Business Associations map in November 2020 and is currently establishing internal guidelines for using the Neighborhood and Business Associations map. Training will be provided to Planning staff regarding the guidelines and utilizing mapping tools. Target Date: Oct-2021 (Delayed From: Jun-2020)
<p>#19-03 Development Noticing</p> <p>#03 Planning should propose updates to Council Policy 6-30 and develop and implement procedures to:</p> <p>A. Proactively identify projects and dominant neighborhood languages to ensure hearing notices are properly translated,</p> <p>B. Include guidance on when interpretation services for hearings should be provided, and</p> <p>C. Remove the requirement that requesting parties pay for the translation of hearing notices, and determine an appropriate funding source.</p>	PBCE	Partly Implemented	The Planning Division's current Fees and Charges Resolution, which includes three new fees that applicants must pay when projects require interpretation services, became effective August 16, 2021. According to the Department, full implementation of this recommendation is dependent on staffing resources and Council prioritization. Target Date: Dec-2024 (Delayed From: Dec-2021)
<p>#19-03 Development Noticing</p> <p>#04 To clarify expectations on noticing practices, Planning should propose changes to Council Policy 6-30 to provide additional guidance on mailing radii and permit types.</p>	PBCE	Not Implemented	According to the Administration, the implementation of this recommendation is dependent on staffing resources and Council prioritization. According to the Administration, the City's response to the COVID-19 pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
#19-03 Development Noticing  #05 Planning should propose changes to Council Policy 6-30 to set goals to increase the availability of online information prior to a public hearing.	PBCE	Not Implemented	In early 2021, the Department actively worked on developing procedures and technical requirements for increasing the availability of online information as part of the Development Services Partners' upgrade to SJPermits.org. However, the completion of this effort is dependent on SJPermits upgrade features and assistance from the Information Technology Department. According to the Department, the full implementation of this recommendation is dependent on staffing resources and Council prioritization. According to the Administration, the City's response to the COVID-19 Pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)
#19-03 Development Noticing  #07 Planning should create a plain language, online guide for residents in multiple languages that outlines objectives of the public hearing process and provides direction for submitting public comments (before or during a hearing).	PBCE	Partly Implemented	PBCE developed a plain language, online guide in English, Spanish, and Vietnamese. The online guide website went live in June 2021 in the three languages. PBCE is currently creating a friendly URL to include as a link in mailed and e-mailed community meeting and public hearing notices. The Planning Division plans to update its mailed noticing templates to incorporate this link. Target Date: Oct-2021 (Delayed From: Jul-2020)
#19-04 The Mayor's Gang Prevention Task Force  #01 To ensure services reach highest-risk youth and further strengthen the partnership, the Department of Parks, Recreation and Neighborhood Services should work with Santa Clara County Probation to: a) Set goals and criteria for expected referrals, b) Report on the results and outcomes achieved and units of service provided, and c) Amend its agreement to include all current activities performed by Youth Intervention Services.	PRNS	Partly Implemented	PRNS met with the Santa Clara County Probation Department in 2019 and 2020 to discuss and finalize changes to the existing scope of the agreement between Probation and the City. An MOU between the County and the City was finalized and executed in July 2021. The updated agreement includes goals and criteria for referral expectations and performance outcomes as well as all current activities performed by Youth Intervention Services. This recommendation will be considered implemented when PRNS reports on the results and outcomes achieved and units of service provided in the Task Force Annual Report to NSE in April 2022. Target Date: Apr-2022 (Delayed From: Jul-2020)
#19-04 The Mayor's Gang Prevention Task Force  #02 The Department of Parks, Recreation and Neighborhood Services should work with the Santa Clara County Office of Re-entry Services to establish and implement roles and responsibilities for coordination, and establish a formal process for referring clients eligible for re-entry services. This could potentially involve an amendment to the current agreement with Santa Clara County Probation.	PRNS	Partly Implemented	As a part of the Task Force's continuum of care strategy, PRNS met with the Santa Clara County Office of Re-entry Services in March 2021 to discuss how the MGPTF can better collaborate with Re-entry Services. Though SCC Re-entry Services' clientele are primarily adults, there is some overlap with the Task Force as the Youth Intervention Services (YIS) programs serve youth up to age 24. In efforts to collaborate, the Director of Re-entry Services presented to the MGPTF Technical Team in April 2021 summarizing all the services that are available at the Re-entry Resource Center. PRNS plans to present to Re-entry Services staff in September on MGPTF programs (YIS and BEST) that may align with Re-entry Services clientele. Target Date: Nov-2021 (Delayed From: Jul-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#03 In addition to its goal of reducing youth gang violence, the Administration should determine the role of the Task Force (BEST and Youth Intervention Services) in the context of overall juvenile crimes and youth violence prevention.</p>	PRNS	Partly Implemented	In February 2019, SJPD reported an increase in overall juvenile crimes. To address the overall increase, PRNS met with the new Chief of Police, who co-chairs the Mayor's Gang Prevention Task Force Policy Team, to discuss how the Task Force could approach this. The Policy Team is the body that will make strategic decisions about the role of the Task Force in relation to overall youth violence prevention. The Administration is embarking on the development of the MGPTF Strategic Work Plan, which will be adopted by the Policy Team and the City Council. Any changes or adjustments to the Task Force's role will be made in the current community context, including juvenile crime and youth violence rates, and the Reimagining Community Safety process. Target Date: Aug-2022 (Delayed From: Jul-2021)
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#04 The Department of Parks, Recreation and Neighborhood Services should ensure participant needs are consistently assessed by developing processes to:</p> <p>a) Assess youth participants through the adoption of a standardized assessment tool to be used for all Task Force programming,</p> <p>b) Create corresponding service plans based on those risk levels, and</p> <p>c) Track and report enrollment by risk level including pre and post results for all Task Force services.</p>	PRNS	Partly Implemented	A consultant has completed an assessment recommendation and screening tool that will be piloted in September 2021. PRNS will continue to work with consultants to review assessment tools currently used by BEST Grant Program service providers to better understand what they measure, how they are administered, how results are used, and staff feedback in using the assessment tool. Based on this review, the consultant will provide a recommendation by January 2022 on which tool(s) BEST funded agencies and Youth Intervention Services staff should use. Target Date: Jun-2022 (Delayed From: Jun-2021)
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#08 The Department of Parks, Recreation and Neighborhood Services should work with the City Attorney's Office to update the current Memoranda of Agreement with school districts to include:</p> <p>a) All services provided by City staff on school campuses,</p> <p>b) Roles and responsibilities for City staff and school administrators, including criteria for Safe School Campus Initiative activations, and</p> <p>c) Key documents that would be required to enroll participants, including parental consent forms.</p>	PRNS	Partly Implemented	The Task Force services 17 school districts. PRNS has updated and executed agreements for five school districts including Alum Rock, Franklin-McKinley, Moreland, San Jose Unified, and the Santa Clara County Office of Education (alternative schools). The agreement with the East Side Union High School District has expired and is currently in process of being renewed. PRNS has been corresponding with the additional 11 school districts; however, due to school closures and other issues related to the pandemic, updating agreements has been deprioritized for the districts. Staff expects to negotiate and execute the remaining agreements with school districts by June 2022. Target Date: Jun-2022 (Delayed From: Jul-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#10 To more clearly define expectations for Youth Interventionist case management services, the Department of Parks, Recreation and Neighborhood Services should:</p> <p>a) Define what constitutes a case management session such as one-on-one sessions, support groups, or similar activities,</p> <p>b) Develop targets for expected number of case management sessions, and</p> <p>c) Develop procedures to track the required number of sessions received by participants and monitor the results of individual service plans.</p>	PRNS	Implemented	PRNS has established a written manual for case management in the SSCI program, including definitions for case-management activities such as one-on-one sessions, support groups, and other activities; targets for expected number of sessions; and procedures to track and monitor the results of individual service plans for clients. To establish targets, the manual includes guidelines on how often such activities should occur per client. The manual includes links to the Quesgen database system or other database used to report events and the program's results, as they occur. To monitor sessions and the results of service plans, supervisors review the status of work with each client twice to ensure adherence to case management standards. The first review is during a one-on-one meeting with Youth Outreach Workers and Youth Outreach Specialists, and the second review is another meeting with the Youth Outreach Specialists and the Community Coordinator who manages the SSCI program.
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#14 The Department of Parks, Recreation and Neighborhood Services should:</p> <p>a) Reassess reported program outcomes and units of service for all Task Force programs, and</p> <p>b) Re-define and annually report key program outcome measures.</p>	PRNS	Partly Implemented	PRNS has hired a consultant to develop a performance measurement framework for all Task Force programs (BEST and Youth Intervention Services) that will reassess program outcomes and units of service. The framework will align with the preliminary theory of change developed by the MGPTF Evaluation Consultant, Social Policy Research Associates. The consultant submitted a project proposal that includes collecting program information, refining the theory of change, identifying questions on program monitoring and evaluation, and confirming performance metrics to test the feasibility of the outputs and outcomes provided in the theory of change. PRNS and the consultant are currently finalizing a scope of work for the contract and the initial kick off meeting is expected to occur October 2021. Target Date: Apr-2022 (Delayed From: Jul-2021)
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#15 To evaluate the satisfaction of services provided to youth participants and their families, the Department of Parks, Recreation and Neighborhood Services should establish a formal mechanism for youth to provide feedback through the annual administration of participant surveys. The results of the surveys should be included in the annual report to Council on Task Force activities.</p>	PRNS	Partly Implemented	For the BEST program, PRNS conducted a youth survey for the program year 2019-20 and reported on results in the annual report to Council at the March 2021 Neighborhood Services and Education Committee meeting. For Youth Intervention Services (YIS), PRNS administered the youth survey to participants in August 2021 and plans to administer again during the program year. This recommendation will be considered implemented when PRNS receives YIS participant results and it is included in the Task Force annual report to Council, along with participant results for the BEST program. Target Date: Apr-2022 (Delayed From: Jul-2020)
<p>#19-05 Employee Reimbursements</p> <p>#02 The Finance Department should notify timekeepers and time-approving supervisors of their responsibilities and provide instructions on the mileage reimbursement verification process.</p>	FIN	Implemented	The Finance Department implemented a new process for mileage reimbursement through the City's PeopleSoft System, developed trainings for staff requesting mileage and those reviewing the mileage requests. In coordination with the Office of Employee Relations, the Department revised the Mileage Reimbursement Policy to incorporate these new processes and procedures.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-05 Employee Reimbursements</p> <p>#04 The Finance Department should work with the Office of Employee Relations and the Information Technology Department to simplify the employee reimbursement process by:</p> <p>a) Reviewing the approval process for small dollar reimbursements (e.g., parking, tolls, and local transportation), potentially requiring a dollar threshold.</p> <p>b) Including commonly requested expense reimbursements and timeliness requirements, either in the upcoming electronic travel and expense management system or another electronic solution. This may require updating the associated City policies to reflect the revised processes.</p>	FIN / OER	Not Implemented	The Finance Department, in coordination with the Office of Employee Relations and Information Technology Department, developed a list of Business Automation Processes needed to address (a) the approval process for small dollar reimbursements (e.g., parking, tolls, and local transportation), and (b) expense reimbursements and timeliness requirements. The Finance Department also plans to review the timeliness requirement and review applicable policies to identify ways to streamline the process. Finance anticipates the implementation of an electronic travel reimbursement system will streamline the submission and approval process (see recommendation 1312-11). This may require some revisions to the Employee Reimbursement Policy once the software is deployed. Target Date: Dec-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#01 To help streamline the City's process of identifying Form 700 filers, the City Clerk's Office should reestablish regular department liaison meetings and:</p> <p>a) Update and document expectations for department liaisons regarding entering employee assuming and leaving office information into the e-filing system; and/or</p> <p>b) Work with the Human Resources and Information Technology Departments and the e-filing system vendor to automate the process for updating employee information.</p>	CLERK / HR / IT	Partly Implemented	The City Clerk's Office plans to hold regular Form 700 liaison trainings once operations stabilize from COVID-19 impacts. Work has not begun with Human Resources, IT, and the vendor to automate the process. The City Clerk's Office reports that, due to the extra workload from issues related to COVID-19, no progress on this recommendation has been made during this period. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#02 The City Clerk's Office should establish standard procedures surrounding the assessment of late fines and referral of non-filers to the Fair Political Practices Commission (FPPC). The procedures should include using its e-filing system to track follow up activities, such as assessing late fines and sending non-filing notices.</p>	CLERK	Partly Implemented	The City Clerk's Office reports that it uses the e-filing system to send late notices and track correspondence with non-filers, but that the procedures on this had not yet been documented. The City Clerk's Office reports that there has not been progress on this recommendation during this period due to additional workload that resulted from issues related to COVID-19. Target Date: Jun-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#03 To ensure consistency with annual filing requirements, the City Clerk's Office should:</p> <p>a) Regularly compare the numbers of annual Form 700 filers and Family Gift Report filers and reconcile any differences.</p> <p>b) Document expectations for department liaisons that annual filers be notified of requirements to file a Family Gift Report.</p>	CLERK	Partly Implemented	The Office of the City Clerk reconciled the roster of Form 700 and Family Gift Report filers, and reported working with the Form 700s database vendor to correct inconsistencies. The City Clerk reports that, due to additional workload from issues related to COVID-19, the procedures on department liaison responsibilities have not yet been finalized, which is the final piece of the recommendation. Target Date: Feb-2022 (Delayed From: Jun-2020)



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-06 Form 700s</p> <p>#04 The Administration, as it develops Citywide guidelines on contract management, should clarify responsibilities for consultant Form 700 filing compliance, including:</p> <p>a) Coordinating with the City Clerk's Office to ensure all consultants are appropriately identified in the e-filing system,</p> <p>b) Verifying that consultants meet all filing requirements and following up with non-filers, and</p> <p>c) Collecting alternative/personal email addresses to facilitate follow-up for consultant leaving office filings.</p>	CMO / CLERK	Partly Implemented	The City Manager's Office (CMO) had executed a service order with a consultant to review the current process for consultant procurements across various City departments and develop recommendations on process improvements, including monitoring of consulting contracts and Form 700 filers. The CMO reports that this information will be used to establish a City policy for procuring consultant services and develop training materials. The consultant's next step would have been to conduct multiple meetings with departmental representatives. However, this work has been halted due to the COVID-19 pandemic. The City Manager's Office (CMO) has worked with the cross-departmental Business Process Automation Team to create an electronic signature platform for contracts. This platform has a mandatory built-in requirement for Form 700 filers. Through the system, contract analysts are now required to have their department Form 700 liaison enter the consultant's information into the City's reporting system, and the entry verified by the Office of the City Clerk before a contract is finalized. The CMO plans to continue internal discussions to address other areas of the recommendation. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#05 The City Attorney's Office should modify relevant sections of the standard consulting agreement templates to include a business email address for each consultant filer listed.</p>	CAO	Not Implemented	The City Attorney's Office plans to modify the standard consulting agreement to include a business email address for each consultant filer listed. However, the Office reports that priorities have shifted to address COVID-related contracting responsibilities. In addition, COVID-related issues that staff must respond to have created an increased workload. Target Date: Jun-2022 (Delayed From: Dec-2020)
<p>#19-06 Form 700s</p> <p>#07 The City Clerk's Office should develop procedures for the review of Form 700s, in accordance with the Political Reform Act and FPPC regulations, and the use of the e-filing system to facilitate amendment requests.</p>	CLERK	Partly Implemented	The Office of the City Clerk had reported that they developed draft procedures, but they had not yet been finalized. Due to the extra workload from issues related to COVID-19, the Office of the City Clerk reports that no progress has been made on this recommendation during this period. Target Date: Jun-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#08 The City Clerk's Office should generate reports from the e-filing system identifying employees with reportable interests, and provide to department liaisons and department heads for appropriate review.</p>	CLERK	Partly Implemented	The Office of the City Clerk generated reports from the e-filing system identifying employees with reportable interests and provided them to department liaisons and department heads for review. Once the procedures on generating these reports are documented, this recommendation will be implemented. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#09 The Administration, in consultation with the City Attorney's Office, should develop guidance for departments to review employee Form 700s for potential conflicts of interest.</p>	CMO / CAO	Partly Implemented	The City Attorney's Office and the City Manager's Office have met to discuss an internal process for periodic review of Form 700s, though these meetings have been put on hold as a result of the COVID-19 pandemic response. Target Date: Dec-2021 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-07 Procurement Cards</p> <p>#01 The Finance Department should:</p> <p>a) Periodically (at least monthly) review list of separated employees and ensure that p-cards of employees on that list are immediately deactivated, and</p> <p>b) Reassess and clarify policy expectations to deactivate p-cards when employees are on leaves.</p>	FIN	Partly Implemented	The Finance Department has started to perform monthly reviews of separated employee lists to ensure that p-cards assigned to former City employees are deactivated. The Department plans to clarify policy expectations as part of the revised p-card policy and new administrative guide it expects to publish by December 2021. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#02 The Finance Department should:</p> <p>a) Develop a process to annually share recertification data with p-card coordinators so departments can easily cross-check and verify compliance with the recertification quiz,</p> <p>b) Require p-card holders that have not completed the recertification to immediately do so, and</p> <p>c) Suspend p-cards for employees that do not comply with the recertification requirements within an agreed-upon timeframe.</p>	FIN	Partly Implemented	The Finance Department is now responsible for administering and monitoring the annual recertification quiz Citywide, including enforcing suspensions as needed. The Department plans to address items b) and c) of this recommendation as part of the p-card policy update or p-card administrative guide. The revised p-card policy and administrative guide are expected to be published by December 2021. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#03 To help employees comply with applicable purchase requirements, Finance should:</p> <p>a) Aggregate all policies and guidelines applicable to p-card purchases, including furniture purchases, in an easy and user friendly resource available on the City's intranet site; and</p> <p>b) Work with Public Works to clarify restrictions on vehicle related p-card expenses and that any questions regarding such purchases be directed to Public Works' Fleet Division, and include such guidance in the p-card administrative guide.</p>	FIN / PW	Partly Implemented	Finance plans on aggregating all p-card related policies and guidelines, including those related to furniture purchases, and making them available on Purchasing's intranet site. The Department is also working with Public Works' Fleet Division to clarify restrictions on vehicle-related p-card purchases and the correct procurement methods for vehicle-related purchases. This clarification will be included as part of the aggregation of p-card related policies and guidelines. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#04 The Finance Department should work with the Information Technology Department to clarify whether cloud based subscriptions are considered services and whether these types of services require Information Technology Department approval.</p>	FIN	Partly Implemented	According to San José's Municipal Code, software is considered a service. The Finance Department will clarify in its p-card policy and administrative guide that cloud-based subscriptions require approval from the Information Technology Department. Both the policy and guide have been updated and are currently under review. Target Date: Dec-2021 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-07 Procurement Cards</p> <p>#05 We recommend Finance work with Office Depot to review past pricing and purchasing data to determine and ensure the City received:</p> <p>a) Discounts on non-contracted items;</p> <p>b) Appropriate rebates, including those based on the sales of "piggybacked" cities; and</p> <p>c) Appropriate pricing under the terms of the agreement.</p>	FIN	Partly Implemented	<p>Finance has reviewed with Office Depot past City pricing and purchasing data for contracted items and has reached a settlement of \$63,000 with Office Depot to account for missed discounts and unpaid rebates on these items. Due to staffing challenge at both the Department and Office Depot, as well challenges arising from the COVID-19 pandemic, the Department has not been able to review pricing and purchasing data for non-contracted items or confirm rebates for "piggybacked" cities. Finance plans to reengage Office Depot on these items in 2021. Target Date: Dec-2021 (Delayed From: Jun-2020)</p> <p>Potential Budget Savings: At the time of the audit, we estimated the City may have lost out on at least \$176,00 in savings.</p>
<p>#19-07 Procurement Cards</p> <p>#07 The Finance Department should:</p> <p>a) Include in its department p-card coordinator training expectations about on-going monitoring of p-card purchases to ensure that departments are appropriately utilizing Citywide and department-specific open purchase orders when applicable;</p> <p>b) Work with the Information Technology Department to ensure that related purchase order information is available in all browsers, or that purchase orders specifically clarify that the related information is only available through Internet Explorer Browsers.</p>	FIN / IT	Partly Implemented	<p>Finance is including in its p-card training sessions the expectation that departments use Citywide and department-specific open purchase orders when applicable and practical. The Department will incorporate this expectation within in its revised p-card policy or administrative guide which is expected to be published by December 2021. The Department has published instructions to help City staff view complete purchase order information on all internet browsers. Target Date: Dec-2021 (Delayed From: Jun-2020)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-07 Procurement Cards</p> <p>#09 PRNS should develop procedures for p-card usage that include:</p> <p>a) A review of p-card usage to reevaluate the operational necessity of individual staff having a p-card and cancel p-cards if not necessary,</p> <p>b) Guidelines to establish the business need for purchases, including for food and beverages used for events or programs,</p> <p>c) Providing expectations for tracking and securing high-value items purchased with p-cards,</p> <p>d) Ensuring staff are using available purchase orders for food and beverage purchases,</p> <p>e) Developing guidelines surrounding the purchase of gift cards that set expectations on dollar limits, usage, and supporting documentation, and</p> <p>f) Ensuring that p-card payments are made in a timely manner.</p>	PRNS	Partly Implemented	<p>a: PRNS completed a review of departmental p-card usage and spending limits, and has reduced the number of p-card holders from 246 at the time of the audit to 214 as of July 2021.</p> <p>b: PRNS expects to develop guidelines that establish business needs for making p-card purchases, including those related to food and beverages by January 2022.</p> <p>c: PRNS met with Finance and other departments to identify processes that PRNS can use to develop departmental thresholds for tracking high value assets whose value fall under the \$5,000 Fixed Asset threshold articulated in City Policy Manual Section 5.1.7. PRNS will continue to use the Fixed Asset threshold to track its assets while it explores developing appropriate Department procedures, system and resources permitting.</p> <p>d: The Department has reminded field staff of the need to use existing purchase orders versus p-cards for food and beverage purchases, and plans to draft formal guidelines by March 2022. PRNS has also published available Purchase Orders on its Intranet site.</p> <p>e: PRNS, in coordination with the Finance Department as well as the City Attorney's Office, developed guidelines for the purchase of gift cards as part of the department's Clean Slate referral incentive program. The guidelines establish expectation for dollar limits, usage, and supporting documentation, among other items.</p> <p>f: PRNS reports that it has made on time p-card payments over the past year. The department also reports that it was charged late fees in two instances, but has requested a refund for the charges as they were a result of bank payment processing delays rather than late payments from the department. Target Date: Mar-2022</p>
<p>#19-08 Street and Utility In-Lieu Fees</p> <p>#03 To ensure that fee revenues are appropriately spent on intended public improvements, Public Works should:</p> <p>a) Work with program staff in relevant departments to identify which in-lieu fees were collected for public improvements that have been completed, and transfer fee revenues accordingly;</p> <p>b) Going forward, coordinate with program staff when new in-lieu fees are paid to ensure program staff are notified that new revenues are available; and</p> <p>c) Update the annual development in-lieu fee report to accurately describe the identified public improvement for unspent in-lieu fees.</p>	PW	Partly Implemented	<p>Public Works staff report that they provided departments with the annual in-lieu report and coordinated on a project-by-project basis to determine which in-lieu fees were collected for public improvements that have been completed. As of August 2021, \$5.7 million had been transferred to date. This recommendation is not yet fully implemented, because Public Works staff are continuing to update the annual development in-lieu fee report, so it accurately describes the identified public improvements for unspent in-lieu fees. Target Date: Dec-2021 (Delayed From: Dec-2020)</p> <p>Potential Budget Savings: At the time of the audit, we estimated roughly \$810,000 in unspent in-lieu fee revenues for public improvements that had been completed. Further review by Public Works identified additional funds, of which \$1 million remains to be transferred.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-08 Street and Utility In-Lieu Fees</p> <p>#04 To ensure appropriate tracking and use of in-lieu fee payments, Public Works should review the fees in the Depositors Fund to determine whether any monies should be refunded or transferred to other funds.</p>	PW	Implemented	Public Works staff reviewed collections in the Depositors Fund and coordinated with various departments and programs to transfer applicable funds. As of August 2021, \$4.7 million had been refunded to developers or been transferred to City funds or other responsible agencies. Staff report that the Depositors Fund remains an active account, so they will coordinate and track on a regular basis.
<p>#19-08 Street and Utility In-Lieu Fees</p> <p>#05 To ensure that the City's utility undergrounding fee is a fair estimate of the cost of utility undergrounding projects, Public Works should reassess the utility undergrounding in-lieu fee.</p>	PW	Not Implemented	Staff anticipates the Delmas/Park Rule 20B project to be completed in October 2021, and the McKee/Jose Figueres Rule 20B project to be completed in June 2022. The Administration reports that the utility undergrounding in-lieu fee will be reassessed using the cost data obtained from both projects once completed. Target Date: Jul-2022 (Delayed From: Jun-2021)
<p>#19-10 Technology Deployments</p> <p>#01 To address Citywide technology deployments and project management, the Administration should update the Procurement of Information Technology Policy (CPM 5.1.9) or develop a new Technology Deployment Policy to:</p> <p>a. Require project charters for technology projects (potentially reviewed and approved by ITD or CMO) prior to the procurement process.</p> <p>b. Clearly define the essential and secondary features that address business need within this project charter.</p> <p>Sion</p>	IT	Implemented	The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy requires that project charters prior to procurement for projects meeting the City Portfolio-Products-Projects Office (C3PO) standards of cost, duration, complexity, and sensitivity. The IT Guidelines note that charters should describe the scope, including executive, functional, and technical requirements detailing what the product of the project must do or accomplish.
<p>#19-10 Technology Deployments</p> <p>#02 In the Administration's policy update for technology deployments (see Recommendation #1), require departments to identify and engage all relevant levels of product users and stakeholders in the project chartering process.</p>	IT	Implemented	The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy requires charters be approved by all stakeholders designated by the Project Sponsor(s), Product Owner, and/or Products-Projects Manager.
<p>#19-10 Technology Deployments</p> <p>#03 In the Administration's policy update for technology deployments (see Recommendation #1), require departments to identify the appropriate project approach (e.g., Agile or Waterfall) in the project chartering process. These approaches should be incorporated into both the procurement process and in vendor agreements.</p>	IT	Implemented	ITD has incorporated Agile and Waterfall project approaches in C3PO training materials. The template project charter includes a field for staff to specify the project methodology (e.g., Agile, Waterfall, Scrum, DevOps). The new Technology Management and Deployments Policy (1.7.2) requires the Office to provide training to project staff on City methodologies.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-10 Technology Deployments</p> <p>#04 To ensure appropriate staffing with the right decision-making authority is designated to a technology project, the Administration's policy update for technology deployments (see Recommendation #1) should require:</p> <p>a. Clear governance structures for complex and interdepartmental technology projects, which include well-defined roles, responsibilities, decision-making authority, and the role of the City Manager's Office.</p> <p>b. Allocation of appropriate staffing resources based on project timelines, complexity, and approach.</p>	IT	<p><b>Implemented</b></p> <p>-</p> <p><b>Priority</b></p>	<p>The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy defines various roles in technology deployments, including product owner, products-project manager, and functional and technical leads, and requires that staff have clearly defined roles. Moreover, each project must have an executive steering committee dedicated to making key project decisions. Project charters require a detailed and agreed-upon work breakdown and resourcing estimates based on the project approach, including staffing and timing, depending on the complexity of the initiative.</p>
<p>#19-10 Technology Deployments</p> <p>#05 The Administration's policy update for technology deployments (see Recommendation #1) should:</p> <p>a. Formalize the role of the Information Technology Department (ITD) in technology deployments in initial project planning.</p> <p>b. Identify an ITD liaison for the entirety of the project, as appropriate.</p> <p>c. Formalize the role of the Procurement Planning Board in prioritizing technology procurements.</p>	IT	Implemented	<p>The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy formalizes the role of ITD in setting standards for product-project management, project charter, reporting, and technology procurement, as well as having the authority to hold or cancel approved projects. The policy requires an ITD designee be a member of the executive steering committee and formalizes the Procurement Prioritization Board's role in prioritizing technology procurements.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-10 Technology Deployments</p> <p>#06 In order to ensure that complex technology projects are adequately managed:</p> <p>a. Departments should work with the City's Portfolio-Products Office (C3PO) to evaluate internal project management capacity within the project chartering process.</p> <p>b. If internal capacity is lacking and the project needs to use a consultant project manager, departments should identify staff at the beginning of the process to monitor and assess consultant performance and tie expenditures to overall project progress.</p> <p>c. Require consultant project managers to report project progress on a regular basis to an appropriate governing body (e.g., the executive steering committee).</p>	IT	Partly Implemented	The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy requires City departments to work with the City's Portfolio-Products-Projects Office (C3PO) to evaluate internal project management capacity within the project chartering process. The hiring and oversight of consultant project managers must involve the Chief Information Officer or their designee. In addition, the policy specifies that consultant payments must be tied to overall project progress. Lastly, the policy requires the products-projects manager and C3PO to report project progress, with status reports produced on at least a quarterly basis, with a more frequent cadence based on the impact and criticality of a specific project. ITD aims to consider this recommendation implemented once coordination processes have been implemented, practiced, and improved for a number of months, resulting in effective project management and accurate reporting. Target Date: Dec-2021 (Delayed From: Dec-2020)
<p>#19-10 Technology Deployments</p> <p>#07 To limit loss of knowledge when key project staff leave the City, the Administration should develop procedures to require project staff Citywide to document (potentially using a shared platform) key technology deployment decision points, which include:</p> <ul style="list-style-type: none"> <li>• Approval of specifications</li> <li>• Product customizations and their approvals</li> <li>• Progress against project plans</li> <li>• Changes to agreed-upon features</li> <li>• Key communications with the vendor</li> </ul>	IT	Partly Implemented	The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy requires project charters and amendments, key communications and approvals, and status reports to be documented by the Products-Projects Manager and project staff. This documentation must be stored in the City Portfolio-Products-Projects Office designated repository, and must be accessible to all assigned City staff and vendor staff. The Department anticipates this recommendation to be implemented once Citywide training, processes, and reporting are running consistently. Target Date: Dec-2021 (Delayed From: Feb-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-10 Technology Deployments</p> <p>#09 For transparency on the status of technology projects above a certain threshold of complexity, dollar value, or public impact, the Administration should develop guidelines to:</p> <p>a. Require regular and detailed reporting to the appropriate Council Committee(s).</p> <p>b. Include budget and time metrics, as well as deviations from original estimates in reporting</p> <p>c. Create a dashboard, or other online tool, to track and publicly display the progress of key technology projects, incorporating metrics that are critical to the success of the deployment.</p>	IT	Partly Implemented	According to ITD, project status reporting to the Smart Cities and Services Improvements Committee began in February 2021 as part of the Smart Cities Roadmap and IT Projects Update. Static dashboards are created quarterly for the Smart Cities and Improvement Committee. ITD has also created a dynamic, project reporting dashboard on the C3PO SharePoint that includes all Citywide IT projects meeting C3PO criteria. The Department is in progress of making the dynamic dashboards publicly available. Target Date: Dec-2021 (Delayed From: Mar-2021)
<p>#19-10 Technology Deployments</p> <p>#10 The Information Technology Department should work with City departments to compile and continuously update a comprehensive inventory of technology assets/systems Citywide and establish criteria for monitoring key events in the technology's lifecycle (e.g., contract expiration, vendor end support dates).</p>	IT	Partly Implemented	ITD reports that accuracy and completeness in asset inventory and tracking are not yet consistent across City departments. ITD reports that it has incorporated this recommendation into its Cybersecurity Work Plan and connected it with the 2021-2023 IT Strategic Plan accepted by the Smart Cities and Services Improvements Committee in June 2021. An Asset Management and Risk Coordinator was approved in the FY 2021-22 ITD budget to improve technology asset management Citywide. The new Technology Management and Deployments Policy (1.7.2) clarifies ITD's role in ensuring the City is aware of and manages its technology assets. Target Date: Dec-2021 (Delayed From: Dec-2020)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#01 To help identify replacements, Public Works should update its replacement criteria in the Vehicle Replacement Policy to:</p> <p>a) Incorporate life-cycle or other analyses of maintenance costs,</p> <p>b) Update the age and mileage criteria as appropriate, and</p> <p>c) Align with the City's electric mobility and green fleet goal: where technologically feasible.</p>	PW	Partly Implemented	Public Works has started drafting Vehicle Replacement guidelines, and staff is working with the Department's vendor to incorporate life cycle cost analysis as part of the Department's vehicle replacement forecasting. Target Date: Dec-2021 (Delayed From: Jun-2021)



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-02 Fleet Maintenance and Operations</p> <p>#02 To help manage fleet asset levels and the allocation of fleet assets, Public Works should update the City Policy Manual 1.8.1 to:</p> <p>a) Adjust or establish minimum utilization standards for all fleet assets,</p> <p>b) Require annual utilization reviews to identify underutilized assets, and</p> <p>c) Include procedures on coordinating utilization reviews with City departments and the use of underutilized assets, such as transferring underutilized assets to the Citywide motor pool, disposing them, or reallocating them as appropriate.</p>	PW	Partly Implemented	<p>Public Works is currently working on updating the policy, and plans to have the updates completed, reviewed, and approved by March 2022. Target Date: Mar-2022</p> <p>Potential Budget Savings: At the time of the audit, we identified \$160,000 in work orders generated in FY 2018-19 from fleet assets identified as potentially underutilized.</p>
<p>#20-02 Fleet Maintenance and Operations</p> <p>#03 In the context of overall budget priorities, Public Works should work with the Budget Office to develop short- and long-term staffing strategies to achieve desired performance results, that may include:</p> <p>a) Further use of the rehire retirees program,</p> <p>b) Use of contractual services for additional repair types or asset classes, and/or</p> <p>c) Additional overtime opportunities for current staff.</p>	PW/ CMO	Partly Implemented	<p>Public Works continues to use the rehire retiree program to help offset a staffing shortage and has had discussions with the Budget Office on developing a long-term strategy for staffing levels. Target Date: Jun-2022</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-02 Fleet Maintenance and Operations</p> <p>#04 To improve Citywide preventive maintenance (PM) compliance, Public Works' Fleet Division should:</p> <p>a) Work with departments to confirm point of contacts for PM notifications and complete implementation of the automated PM notifications,</p> <p>b) Establish a Citywide PM compliance target, as well as internal PM compliance targets for departments/asset classes, an</p> <p>c) Implement a PM compliance incentive program, that could include expansion of the fuel shut-off program for noncompliant assets that meet criteria identified by the Fleet Division, or including departmental PM compliance performance into the fleet replacement prioritization process.</p>	PW	Partly Implemented	Public Works has implemented automated emails for preventative maintenance notifications, and is working with its vendor to create dashboards that will help the Department as well customer departments monitor preventative maintenance compliance. Target Date: Mar-2022 (Delayed From: Dec-2021)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#05 To improve communication with other City departments, Public Works' Fleet Division should develop and implement procedures for communicating:</p> <p>a) Asset unavailability and expected turnaround times for when assets are taken in for service,</p> <p>b) Updates for when there are delays because of staffing or the need to order parts, and</p> <p>c) The work that was completed in a work order.</p>	PW	Partly Implemented	Public Works has created a customer portal within its fleet management system that allows City departments to view fleet work order status, including the work performed and reasons for any delay, and has plans to expand this feature to include asset availability. Additionally, the department continues to hold check-in meetings with City departments. Target Date: Dec-2021
<p>#20-02 Fleet Maintenance and Operations</p> <p>#06 Public Works' Fleet Division should pilot an electronic work order intake process using AssetWorks to increase efficiency and remove duplication of efforts.</p>	PW	Partly Implemented	Public Works IT team has expanded the Wi-Fi coverage at the City's Central Service Yard and Muni Garage locations, and the Department intends to begin the pilot program in the fall of 2021. Target Date: Dec-2021 (Delayed From: Sep-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-02 Fleet Maintenance and Operations</p> <p>#07 To enhance performance monitoring and inform resource allocation decisions, Public Works' Fleet Division should develop internal performance measures and reports to monitor availability of specific assets at the department level.</p>	PW	Partly Implemented	Public Works has begun working with its asset management vendor to create department-level dashboards to help monitor fleet availability and related performance measures. Target Date: Mar-2022
<p>#20-02 Fleet Maintenance and Operations</p> <p>#08 To enhance accountability and transparency, Public Works' Fleet Division should develop and report on performance measures on work order timeliness.</p>	PW	Partly Implemented	Public Works has begun working with its asset management vendor to create dashboards to help monitor work order timeliness. Target Date: Mar-2022 (Delayed From: Jan-2022)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#09 To support consistent data entry and reporting, Public Works' Fleet Division should create procedures around:</p> <p>a) Classification of repair reason IDs in AssetWorks,</p> <p>b) Data entry of work orders and contracted services work orders, an</p> <p>c) Pulling reports on active assets, preventive maintenance compliance, vehicle utilization, work orders, and/or others as necessary.</p>	PW	Partly Implemented	Public Works has started to perform data cleanup to help standardize and improve data capture across all fleet locations and plans to develop procedures March 2022. Target Date: Mar-2022 (Delayed From: Dec-2021)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#10 To streamline the fleet replacement process, Public Works' Fleet Division should work with the Budget Office during the annual budget process by:</p> <p>a) Providing the Budget Office with information to approve replacements funded by the Vehicle Maintenance and Operations Fund (Fund 552), such as assets identified for replacement, new replacement assets, or other information as determined by the Budget Office, and</p> <p>b) Removing the secondary Vehicle and Equipment Request Form approval process for Vehicle Maintenance and Operations Fund (Fund 552) replacements so that the Fleet Division can start the ordering process as soon as the Adopted Operating Budget is approved.</p>	PW/ CMO	Implemented	Public Works, in coordination with the Budget Office, has developed and documented a process that removes the secondary Vehicle and Equipment Request Form approval process for Vehicle Maintenance and Operations Fund (Fund 552) replacements, and provides the Budget Office with information about the type of replacement and estimated replacement costs.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-02 Fleet Maintenance and Operations</p> <p>#11 Public Works' Fleet Division should create fleet acquisition guidelines for departments, including updated instructions for vehicle and equipment requests and deadlines. These should be posted on the Fleet Division's intranet site and include contact information for departments to have their questions answered.</p>	PW	Implemented	Public Works has created acquisition guidelines for departments, including updated instructions for vehicle and equipment requests and deadlines. The guidelines have been posted on the Fleet Division's SharePoint site.
<p>#20-02 Fleet Maintenance and Operations</p> <p>#12 Public Work's Fleet Division should develop performance targets related to the timeliness of fleet asset purchases and actual costs of acquisitions against budgeted funds. Performance against those targets should be reported in the department's Fleet Management Annual Report.</p>	PW	Not Implemented	Public Works has been unable to start working on this recommendation because of budget and purchasing constraints resulting from the COVID-19 pandemic. Target Date: Jun-2022
<p>#20-02 Fleet Maintenance and Operations</p> <p>#13 To better allocate the costs of the maintenance and replacement programs, Public Works' Fleet Division should:</p> <p>a) Track staff hours for the fleet acquisition process, and</p> <p>b) Charge City departments separate labor rates to recover the staff costs for (1) maintenance services and (2) acquisitions and build-outs of new or replacement assets.</p>	PW	Partly Implemented	Public Works has started tracking staff hours for acquisitions, and will share this data with customer departments to help the departments budget for future acquisitions. The Department is also working with its vendor to determine whether multiple labor rates can be programmed within the Department's fleet asset management system. Target Date: Jun-2022
<p>#20-03 Audit of Fire Development Services</p> <p>#02 To prevent unnecessary delays for development, and to reduce the workload for engineering staff, the Bureau of Fire Prevention should use intermediate staff (such as a permit specialist or technician) to review initial plans for completeness prior to intake.</p>	FIRE	Implemented	The Fire Department implemented several changes to plan review in FY 2020-21. One of the changes was the addition of SJePLANs for electronic plan review utilizing a digital permit review application programmed to work with the current AMANDA database. A new Principal Permit Specialist, hired in the beginning of the year, developed procedures for using a checklist to ensure complete applications and the use of correct file naming convention for SJePlans. In addition, the Principal Permit Specialist provided training for these procedures to a Senior Permit Specialist that included looking for other missing permit package items.
<p>#20-03 Audit of Fire Development Services</p> <p>#03 To make it easier for customers to navigate the permitting process, the Bureau of Fire Prevention should update the website such that information is current and organized by discipline or customer type, and create simplified, concise resources for customers, similarly by discipline or project type.</p>	FIRE	Partly Implemented	The Fire Department's website was updated to include references to a new Fire SJePlans webpage. This webpage provides applications, contact information, and educational materials for permit applicants. The Department reports that the Fire Permits and Inspection website is under further review for enhanced navigation options related to code enforcement and development permits. Target Date: Aug-2022

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-03 Audit of Fire Development Services</p> <p>#04 The Bureau of Fire Prevention should pilot an option for customers to schedule combination inspections, such that staff trained in multiple disciplines (i.e., alarms, sprinklers, life safety) can inspect multiple systems at one time.</p>	FIRE	Partly Implemented	The Fire Department cross trained inspection staff, which allows staff to inspect sites for multiple disciplines. The Fire Department continues to maximize coordinated inspections by reviewing the remaining open inspections and closing partially passed inspections, when the opportunity arises. Though this happens when possible, there is not currently a way for a customer to schedule a combination inspection in advance. The Department reports that there are challenges to scheduling combination inspections as Fire and Hazardous Materials Systems permit applicants are specialized contractors for each permit's scope of work. As noted in the audit, a consultant study found that while combination inspections may not be feasible for larger developments, it could provide efficiencies for smaller-scale projects. Target Date: Dec-2021 (Delayed From: Jun-2021)
<p>#20-03 Audit of Fire Development Services</p> <p>#05 To improve accuracy and efficiency in inspections and data entry, the Fire Department should provide mobile devices to staff conducting inspections in the field.</p>	FIRE	Implemented	The Department reports that it began using mobile digital inspections in December 2020, and that all development inspectors have been trained and started using the system exclusively in March 2021. The new modules allow for inspection dispatching, online forms integrated into AMANDA, easier access to information in the field, and quicker access to inspection reports by applicants.
<p>#20-03 Audit of Fire Development Services</p> <p>#06 To ensure inspection time is used efficiently, the Bureau of Fire Prevention should develop policies to address unprepared customers, such as:</p> <p>a) Incentivizing customers to cancel appointments when they are not prepared by piloting a reduced cancellation fee, and</p> <p>b) Clarifying expectations for when staff should leave a site that is not ready for full inspection.</p>	FIRE	Partly Implemented	<p>a) The Fire Department implemented a pre-inspection procedure where confirmation of site readiness is obtained prior to inspector arrival. The Department reports that this has resulted in fewer cancellations. Staff plan to conduct a survey of different agencies' cancellation policies to inform a potential change to the fee schedule.</p> <p>b) The Department developed new guidelines which include requirements for when to cancel, fail, or partially pass an inspection. Additionally, the Department developed a report tracking inspectors compliance with these guidelines and is working to refine it. Target Date: Dec-2022 (Delayed From: Jun-2021)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-03 Audit of Fire Development Services</p> <p>#07 To improve customer service, the Bureau of Fire Prevention should implement a more efficient and customer friendly scheduling process, that may include:</p> <p>a) Developing an online scheduling system, potentially with limits on how far out inspections can be scheduled,</p> <p>b) Posting any limits on inspection scheduling along with expected wait times (for when new inspection slots are available) online, and</p> <p>c) Resolving call routing issues between the PBCE call center and Fire Development Services Division.</p>	FIRE	Partly Implemented	<p>a) The Department plans to work with City IT staff to develop online scheduling for inspections this fiscal year.</p> <p>b) The Department plans to identify effective methods to ensure explicit explanation of scheduling processes and expected wait times online. Additionally, the Department intends to pursue options to leverage AMANDA system capabilities to refine wait time estimates and monitor plan review progress.</p> <p>c) In July 2020, the Fire Department and Building Division collaborated to create a process agreement which includes a “soft” transfer whereby the PBCE call taker confers with the Fire Department staff member prior to transferring a call. Staff continues to work with the PBCE call center to evaluate and improve customer service for inspection scheduling. Target Date: Aug-2022</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#08 To ensure staff are prepared to conduct plan reviews and inspections consistently, the Bureau of Fire Prevention Development Services Division should develop a standardized training program for new hires.</p>	FIRE	Implemented	<p>In August 2020, the Department launched a pilot training program for the new hires in the Associate Engineer classification that provides a common foundation for conducting plan reviews and inspection. The training has now been implemented for all Associate Engineer positions. The Department is also utilizing the program to provide cross training for existing staff to reallocate plan review and inspection resources, as needed. The training also benefits staff trainers by developing presentation skills.</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#09 To support training for new staff and consistency among City staff and contract staff, the Bureau of Fire Prevention should create procedures, templates, or checklists that guide staff through common processes for plan review and inspections and, as applicable, clarify Bureau interpretation of code requirements.</p>	FIRE	Implemented	<p>In addition to training described in Recommendation #8, the Fire Department has developed checklists and new policies and procedures for plan review and inspection. These documents are part of the training curriculum and are also used for quality control. The Fire Department now uses SJePlans, which now has sample templates for markup and comments on plan submittals.</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#10 To ensure consistent plan review and inspections, the Bureau of Fire Prevention Development Services Division should implement a system of quality assurance that includes:</p> <p>a) Periodic review of plan comments to verify complete and consistent plan review, and</p> <p>b) Periodic review of inspection records to verify consistent interpretation of requirements.</p>	FIRE	Partly Implemented	<p>The Fire Department began a Quality Assurance/Quality Control process for plan reviews and inspections in June 2021. Staff are continuing to refine this process following the initial roll-out. Target Date: Dec-2021</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-03 Audit of Fire Development Services</p> <p>#11 To ensure accurate reporting for project and performance management, the Bureau of Fire Prevention Development Services Division should create and implement guidelines for consistent data entry among staff.</p>	FIRE	Implemented	The Fire Department developed and implemented the use of a data entry guidelines in June 2021. These guidelines include instructions for usage of SJePlans, general AMANDA usage, and inspection scheduling, among others.
<p>#20-03 Audit of Fire Development Services</p> <p>#12 The Fire Department should work with the Information Technology Department to:</p> <p>a) Create reports or a dashboard tool utilizing AMANDA attempt data to show the number of plans pending review, under review, awaiting resubmittal, and staff assignments, and</p> <p>b) Implement a mechanism to identify unscheduled inspections within AMANDA to better track and manage inspections scheduling.</p>	FIRE / IT	Partly Implemented	<p>a) The Fire Department developed a report with City IT using AMANDA to monitor inspection progress. The Department plans to refine the automated report as needed.</p> <p>b) The Fire Department developed a second report to project potential future inspections by analyzing past inspections and plan reviews. Staff anticipate that this will help identify trends and predict when inspections will fluctuate based on past plan review analysis. Target Date: Jun-2022</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#13 The Fire Department should revise its calculation of the fire inspection cycle time measure to reflect the time from when an inspection was requested until when the inspection occurred, and revise its target, as appropriate.</p>	FIRE	Partly Implemented	The Fire Department developed a report with development partners and City IT using AMANDA to monitor inspection scheduling. Staff plan to refine the report going forward and then make changes to performance measures based on the data. Target Date: Jul-2022
<p>#20-03 Audit of Fire Development Services</p> <p>#14 The Fire Department should review the methodology of its calculations of the number of plan reviews and the percent of time that plan check processing time targets are met, and should reset targets, as appropriate.</p>	FIRE	Partly Implemented	The Fire Department has developed reports to analyze plan review processes for Fire and Hazmat system permits. The Fire Department reports that staff is reviewing raw data from these reports to identify trends based on plan review time, given project size and other factors. Newly developed reports will assist in developing clearer performance measures and better targets. Target Date: Jul-2022

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-04 Park Maintenance</p> <p>#01 To ensure the Park Condition Assessment is complete, accurate, and useful for monitoring changes in parks, PRNS should:</p> <p>a) Develop a standardized list of parks and park features for measuring and analyzing park condition,</p> <p>b) Regularly update this list as new parks and features are added or are closed, and</p> <p>c) Use this standardized list for the annual Park Condition Assessment on an ongoing basis.</p>	PRNS	Partly Implemented	The Department has reviewed the list of sites in its inventory list and removed parks which are not maintained by staff or the small parks landscape maintenance contractor; the remaining list of sites to assess will be reviewed annually as part of the PCA process and loaded/updated in the recently developed mobile PCA tool. The parks that were removed from the PCA list continue to receive regular inspections but do not reflect maintenance work efforts. The park features to be measured are listed in Department's Park Maintenance Standards established in April 2021. To ensure the PCA process is repeatable, staff drafted a Park Condition Assessment Standard Operating Procedure (SOP), which will be reviewed annually for updates at the start of the PCA process. Target Date: Dec-2021
<p>#20-04 Park Maintenance</p> <p>#02 PRNS should develop policies surrounding use of Park Condition Assessment scores to strategically address low-scoring parks and features, and utilize allocated funding to make improvements in a timely manner.</p>	PRNS	Partly Implemented	The Department has drafted an SOP on the Utilization of Park Condition Assessment Scores. This SOP is currently in draft form and will be finalized once 2021 PCA data have been analyzed, as 2021 is a pilot year for the revised PCA process based on recently established Park Maintenance Standards. Target Date: Dec-2021
<p>#20-04 Park Maintenance</p> <p>#03 To make full use of the Park Condition Assessment scores, PRNS should revise its Park Condition Assessment methodology to tie scoring to established maintenance standards and determine how to categorize park features to more easily identify the type of follow-up needed.</p>	PRNS	Implemented	The Department established Park Maintenance Standards in April 2021 and developed, with the Public Works GIS team, a new mobile Park Condition Assessment tool to directly measure performance against the new standards to ensure accurate and consistent measurement and clear follow up actions.
<p>#20-04 Park Maintenance</p> <p>#04 To ensure appropriate allocation of capital resources for park improvements in Council Districts and help prioritize capital budgeting, PRNS should:</p> <p>a) Develop separate maintenance and capital/infrastructure Park Condition Assessment scores, and</p> <p>b) Use the capital/infrastructure Park Condition Assessment scores in the Construction and Conveyance Tax Fund allocation formula.</p>	PRNS	Partly Implemented	The Department has developed a maintenance-specific PCA process, based on Park Maintenance Standards established in April 2021, and is piloting a capital infrastructure assessment this year and incorporating its results into the Construction and Conveyance Tax Fund allocation formula for the FY 2022-23 capital budget development process. According to the Department, staff intends to continue developing these processes based on the results from this year's piloting of new and separate maintenance and capital infrastructure PCA processes. Target Date: Aug-2022



Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-04 Park Maintenance</p> <p>#05 To ensure that data collection efforts adequately meet its needs, PRNS should:</p> <p>a) Refocus data collection priorities, determine short-term and long-term data collection and data analytics goals, and set clear objectives on achieving those goals,</p> <p>b) Reassess the use of Infor EAM to determine if it meets those needs, and</p> <p>c) Develop an ongoing training program for staff to ensure that data entry is consistent and accurate and meets its business goals.</p>	PRNS	Not Implemented	With Park Maintenance Standards established, the Department plans to evaluate what data are necessary for maintaining maintenance standards. It will also assess whether Infor EAM is the best tool, and explore other software options that allow for capital infrastructure lifecycle management. The Department intends to design a comprehensive training program for its data collection software including an annual recertification program to ensure correct staff use. Target Date: Jun-2022 (Delayed From: Jan-2022)
<p>#20-04 Park Maintenance</p> <p>#06 To manage performance and analyze workload, PRNS should develop completion goals for corrective work orders and track performance against those goals.</p>	PRNS	Partly Implemented	The Department has drafted a Work Order Completion Goal SOP to memorialize the 75 percent completion targets for all corrective work orders that are not health and safety related, and retaining the 100 percent completion goal for health and safety work orders. According to the Department, progress towards these goals will be reported in monthly status reports sent to relevant staff. Target Date: Dec-2021 (Delayed From: Aug-2021)
<p>#20-04 Park Maintenance</p> <p>#07 To ensure that staffing is appropriately and equitably distributed across Park Districts, PRNS should review and realign current staffing based on workload, such as type of park, acreage, park conditions, and other factors as appropriate.</p>	PRNS	Not Implemented	The Department has operated for a year under the reorganization of the Parks Division, implemented July 2020, that created a "Destinations, Events and Sports" unit with core maintenance teams that is separate from neighborhood and regional park maintenance. This reorganization was undertaken to clarify the mission and focus of individual teams. Staff is evaluating the organization structure for its ability to support delivery of standard maintenance levels defined in the Parks Maintenance Standards established in April 2021. Future reorganization under consideration includes centralizing mowing and repair work, as key Citywide functions. Target Date: Jun-2022 (Delayed From: Dec-2021)
<p>#20-04 Park Maintenance</p> <p>#08 PRNS should work with the City Attorney's Office to formalize an agreement with the Santa Clara County Sheriff's Office governing the Weekend Work Program, Public Service Program, and other similar donated labor arrangements.</p>	PRNS	Not Implemented	The Department paused the use of donated labor for park maintenance during the pandemic. As it resumes this effort, with safe practices for employee and public health and safety, the Department plans to work with the City Attorney's Office and Santa Clara County Sheriff's Office to develop a formalized agreement. Target Date: Dec-2021
<p>#20-04 Park Maintenance</p> <p>#09 PRNS should develop a formal process to track and reconcile its larger equipment and vehicles and improve internal coordination of vehicle purchases and asset management.</p>	PRNS	Partly Implemented	Staff is drafting an SOP to formalize its tracking and reconciliation of larger equipment and vehicles, which will institutionalize the efforts of the fleet committee that has met throughout the last year to improve internal coordination of vehicle purchases and asset management. Target Date: Dec-2021

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-04 Park Maintenance</p> <p>#10 In order to optimize staff time dedicated to maintenance-related activities, PRNS should:</p> <p>a) Consider making more storage units within existing Park Districts available to staff</p> <p>b) Review timing, duration, and frequency of team meetings</p>	PRNS	Partly Implemented	The Department has begun to use several vacant Department-owned properties (future park locations) to store items frequently used in the field. Staff had previously stored items in spaces at various park sites in West and North San Jose. Staff has anecdotally reported some time savings; the Department has not yet created a methodology to determine the amount of time saved. Daily team meetings were standardized and shortened during the pandemic for employee safety and to enable staff to get into the field more quickly. Target Date: Dec-2021 (Delayed From: May-2021)
<p>#20-04 Park Maintenance</p> <p>#11 To reduce travel time, PRNS should reassess routes with consideration for traffic peak times, park locations, and staffing.</p>	PRNS	Partly Implemented	The Department has experimented with various GPS software programs to support route planning. These were used during the peak of Covid-19 restrictions, so staff were unable to determine whether the routes given were more effective than previous routes as vehicle traffic was greatly reduced due to stay-at-home orders and work-from-home norms. Staff will conduct another trial in the current fiscal year for a more accurate representation of typical traffic patterns. Target Date: Jun-2022 (Delayed From: Dec-2021)
<p>#20-04 Park Maintenance</p> <p>#12 To refocus staff time toward activities directly related to park maintenance, PRNS should review and set realistic goals around time spent performing administrative tasks, such as staff meetings, work order data entry, and travel.</p>	PRNS	Partly Implemented	<p>The Department has drafted standards for direct vs. indirect time for each maintenance classification, and disseminated a draft standard morning maintenance meeting agenda. Target Date: Dec-2021 (Delayed From: Jun-2021)</p> <p>Potential Budget Savings: At the time of the audit, we found administrative work accounted for roughly 40% of total staff time. If that was reduced to 25%, we estimated it would translate into roughly \$600,000 of additional staff time available for maintenance activities.</p>
<p>#20-04 Park Maintenance</p> <p>#13 PRNS should assess language access needs for parks in areas with higher concentrations of limited English households and provide information and resources in multiple languages in those areas.</p>	PRNS	Not Implemented	The Department is in the process of establishing an internal committee with representatives from its communications team, Park Ranger Program, parks maintenance and other interested work units to assess and improve language access and make park signage and wayfinding more consistent, accessible, and effective. Target Date: Jun-2023
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#01 To better assess workload and resources, Planning, Building and Code Enforcement's Planning Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.</p>	PBCE	Partly Implemented	PBCE reports that beginning in March 2021, the Planning Division began gathering the necessary inputs to create a work-in-progress report. Currently, the report aggregates most of the planning fee processes, and it is being expanded to include processes in other division permits (e.g., Building permits). PBCE anticipates the report to be completed by November, 2021. Target Date: Nov-2021 (Delayed From: Sep-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#02 To better assess workload and resources, Public Works Development Services Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.</p>	PW	Partly Implemented	Public Works previously developed a procedure and implemented time tracking in AMANDA for engineering and inspection staff. Public Works has ongoing monitoring and reporting from this time tracking, and intends to correlate the time tracked with funds spent this year. Target Date: Dec-2021 (Delayed From: Jun-2020)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#03 To better assess workload and resources, the Fire Department's Fire Code Compliance Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.</p>	FIRE	Partly Implemented	Fire Department developed a draft Fire Work In Progress - Liability Report for tracking the fee collection versus hours worked for plan review and inspections. Fire intends to fine-tune this report going forward. Target Date: Dec-2021 (Delayed From: Sep-2021)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#04 To ensure that the Development Partners have adequate funding to support their development work, Public Works, the Fire Department, and Planning, Building and Code Enforcement should work with the Budget Office and the City Attorney's Office to develop reserve policies or guidelines around the appropriate uses of funds, including work-in-progress reserves.</p>	CMO / PW / PBCE / FIRE / CAO	Partly Implemented	The Administration has made progress by creating individual budgeted funds for each of the development fee programs. This recommendation is partly implemented because the Administration has not implemented a new process to account for the work-in-progress reserves. The City Manager's Budget Office, Finance Department, City Attorney's Office, and the Development Services partners plan to meet to discuss and develop a process. Full implementation of this recommendation is estimated to be completed by March 2022. Fire reports that it will provide finalized Fire Work in Progress - Liability Reports and similar reports to inform changes to reserve policies and guidelines. Target Date: Mar-2022 (Delayed From: Sep-2021)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#05 To properly account for development fee revenues, the Finance Department should work with the City's external financial auditor to determine the proper accounting treatment of development fee revenues that have been collected for projects still in progress.</p>	FIN	Not Implemented	Progress has been made on the accounting treatment for work-in-progress Development Fees, but completion of this recommendation is dependent on the completion of recommendations one, two, and three. Following the development of the work-in-progress reports for the Development Services partners, the Finance Department will be able to make progress on implementing the new treatment. Target Date: Mar-2022 (Delayed From: Dec-2021)
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#01 To better meet Priority 1 and 2 response times goals and address past staffing reductions, the Police Department should add sworn officers to field patrol in the context of the Department's and City's overall budget.</p>	PD	Not Implemented	According to the Department, the City's current budgetary outlook does not allow for significant sworn staffing additions over the next five years. The Department plans to review and prioritize staffing needs each budget development cycle and evaluate staffing levels on an ongoing basis. Target Date: Jun-2025

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#02 To optimize police staffing, the Police Department should include an analysis of alternative schedules either in its current redistricting work or in a separate study, and report to the City Council on the results of the studies.</p>	PD	Not Implemented	The Department has not begun work on this recommendation. Target Date: Jun-2023
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#03 To determine the most suitable approaches for responding to certain types of calls, the Police Department should:</p> <p>a. Begin tracking calls that may benefit from an alternative response, such as incidents involving individuals experiencing homelessness or individuals with disabilities.</p> <p>b. Determine whether some of the responses can be diverted to non-sworn staff or coordinated with other City departments or agencies.</p>	PD	Not Implemented	The Department has not begun work on this recommendation. Target Date: Jun-2023
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#04 To ensure that targets for community policing address Council and community priorities, the Police Department should develop a long-term community policing strategy that describes how performance targets address those priorities and work with the City Administration to identify consistent sources of funding for priority community policing positions, such as foot patrol.</p>	PD	Not Implemented	The Department has not begun work on this recommendation. Target Date: Jun-2023
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#05 To limit the risk of fatigue and more evenly distribute overtime hours across the department, the Police Department should:</p> <p>a. Enforce existing limits on total overtime hours worked in a day, week, and year, including which types of overtime can be worked beyond these limits.</p> <p>b. Update eResource to ensure all prescheduled and biddable overtime assignments are captured in the system.</p> <p>c. Develop a policy to address frequent violations of Duty Manual specified overtime weekly limits.</p>	PD	Partly Implemented	The Police Department's overtime expenditures were slightly lower in FY 2020-21 than FY 2019-20 (down from \$47 million to \$45 million) but the number of overtime hours worked increased from 450,000 hours to over 500,000 hours. The amount of excess comp time payouts also increased -- from \$16 million for FY 2019-20 to \$19.3 million in FY 2020-21. On May 19, 2021, the Department issued Memorandum #2021-015 titled "Overtime Controls." This memorandum limited overtime to that which is absolutely mandatory and unavoidable. The memorandum further clarified that no discretionary overtime would be allowed and that all overtime is subject to management review. All Captains and Division Managers are required to submit a memorandum quarterly to the Chief Executive Officer justifying the use of overtime. eResource has not been updated to capture all overtime assignments. We will continue to follow-up to determine whether the new controls appropriately address use of overtime above allowed limits and duty manual violations. Target Date: Jun-2022

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#06 To ensure that supervisory staff can better assess the purpose and appropriateness of overtime use, the Police Department should:</p> <p>a. Clearly define types of overtime considered mandatory and discretionary, including when follow up and report writing should be conducted on overtime.</p> <p>b. Develop guidelines for documenting Captain approval of discretionary overtime.</p> <p>c. Update internal procedures and train staff on how to log discretionary, mandatory, or voluntary overtime type codes in their timecards.</p>	PD	Partly Implemented	<p>The Department issued a memo, Memo #2021-015, which outlines overtime controls for the Department and new requirements that include Captains and Division Managers to report out on the use of overtime in their division on a quarterly basis. The Department states that it will continue to review overtime, including how it is being used, review its overtime policies in consideration of the current staffing issues, and develop a plan that considers policy changes, clarification of discretionary and mandatory overtime, consistent messaging, training for staff, and management review. Target Date: Jun-2022</p> <p>Potential Budget Savings: With greater controls and approval over overtime for discretionary time (e.g., admin, report writing, training, and follow up), we estimate savings of \$1,147,350 if such overtime was reduced by 7.5 percent.</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#07 To ensure transparency, the Police Department should clarify which overtime assignments can be worked for pay or compensatory time and review and update the Memorandum of Agreement and/or General Orders, as appropriate.</p>	PD	Not Implemented	<p>The Department has not begun work on this recommendation. Target Date: Dec-2021</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#08 To enhance budgetary transparency and increase the controls surrounding compensatory time liability, the Police Department should pursue at least one or a combination of the following:</p> <p>a. Work with the Budget Office to develop a reserve for future compensatory time liability, similar to sick leave pay out liability.</p> <p>b. Regularly report in the bimonthly financial reports to the Public Safety Finance and Strategic Support Committee, the Mid-Year Budget Review, and/or the City Manager's Annual Report: (1) the amount of overtime expenses attributable to staff that have reached the 480-hour compensatory accrual limit, (2) number of individuals who have reached both the 480-hour and 240-hour limits, and (3) the total compensatory time liability.</p> <p>c. Assess options to prioritize the use of compensatory time over vacation leave.</p>	PD	Partly Implemented	<p>The Police Department and the Office of Employee Relations continue to collaborate to seek changes to the MOA with the San José Police Officers Association (POA) to provide additional discretion and management control of compensatory balances. Changes to the tentative agreement were made that limit overtime opportunities on a day an employee uses sick leave and the immediate day after; and for those employees working on a compensatory time reduction plan, in accordance with the MOA. The City and POA agreed to continue discussions related to compensatory time off, including, but not limited to a possible buy down of an employee's outstanding compensatory time balance. The Department will review how it may prioritize the use of compensatory time over other types of leave and will provide direction to staff. Target Date: Dec-2021 (Delayed From: Jun-2021)</p> <p>Potential Budget Savings: If the City were to reduce half of the comp time balances above 240 prior to the next agreed upon pay increase, we estimate the City could save \$222,000.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#09 To supplement sworn police services and manage overall workload challenges in the department, the Police Department should:</p> <ol style="list-style-type: none"> <li>In the context of the overall budget, add more Community Service Officers (CSOs) to address Priority 3 and 4 incidents, and</li> <li>Develop guidelines to ensure more equitable distribution of CSOs across districts, such that districts with higher workloads receive appropriate coverage. This may include redistributing workload and assignments as vacancies occur.</li> </ol>	PD	Not Implemented	<p>The Department has not begun work on this recommendation. Target Date: Jun-2023</p> <p>Potential Budget Savings: We estimate savings of \$751,500 if CSOs responded to additional calls rather than sworn officers using overtime. This is dependent on future hiring of additional CSOs.</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#10 To better align Department call priorities with CSO work, the Police Department should update its Duty Manual to:</p> <ol style="list-style-type: none"> <li>Reassess its priority list of CSO-dispatchable calls and determine how to better utilize CSOs to address those priorities.</li> <li>Include common types of calls not currently listed in the Duty Manual, such as "Suspicious Vehicles" and "Expired Registration".</li> <li>Develop a strategy for CSO involvement in community policing, as described in the SJPD Duty Manual.</li> </ol>	PD	Not Implemented	<p>The Department has not begun work on this recommendation. Target Date: Jun-2023</p>
<p>#21-02 Advocate Referrals</p> <p>#01 To improve how the City connects survivors to advocacy services, the Police Department should update:</p> <ol style="list-style-type: none"> <li>The Duty Manual to include the advocate referral communication language recommended by Santa Clara County's Sexual Assault and Domestic Violence protocols, and to reference the applicable California penal codes,</li> <li>The domestic violence resource card to clearly state that the survivor has the right to an advocate and a support person in any interview during the investigation,</li> <li>The domestic violence and sexual assault resource cards to include language that a survivor's immigration status does not affect their right to advocacy services and that these services are offered at no cost to the survivor.</li> </ol> <p>Both the domestic violence and sexual assault resource cards should also be fully translated into Spanish and Vietnamese.</p>	PD	Partly Implemented	<p>a) The Police Department has updated the Duty Manual and its Sexual Assault Investigation Unit standard operating procedure as applicable to include advocate referral language consistent with County protocols and reference to the applicable Penal Codes. The Family Violence Unit is updating its Unit guidelines to address the final piece around reminding domestic violence survivors of their right to an advocate and a support person during follow-up interviews, explaining the benefits of having an advocate present, and offering to have one present during the interview, which will complete part a of this recommendation. b) and c) The Department is currently working with its partners on the County's Domestic Violence Protocol Working Group to update the cards. Once an updated version of the card has been finalized, the Department will need to print a new supply of cards to replace the current version in use by the Department. Printing these cards has an approximate annual cost of \$5,000. The Department reports it will absorb this cost within the current operating budget. Target Date: Dec-2021</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-02 Advocate Referrals</p> <p>#02 To standardize how referrals are provided to the YWCA for cases of sexual assault, the Police Department should update the Sexual Assault Investigation Unit's standard operating procedures to clarify that detectives should offer to forward a survivor's contact information to the YWCA during all investigations immediately upon receipt of the case.</p>	PD	Implemented	The Department has documented how detectives should forward a survivor's contact information to the YWCA upon receipt of a case in its Sexual Assault Investigation Unit's standard operating procedure.
<p>#21-02 Advocate Referrals</p> <p>#03 To support the Police Department's response to domestic violence survivors at high risk of lethal events, the Department should work with the YWCA in its evaluation of the domestic violence high-risk response team pilot program to determine program effectiveness and future resource needs, including:</p> <p>a) Reviewing the level of reach to survivors and assessing whether the criteria for referring survivors to the domestic violence high-risk response team are clear and appropriate, and</p> <p>b) Reviewing the level of service provided to survivors, including whether additional coordination with Santa Clara County agencies or other organizations would be beneficial.</p>	PD	Partly Implemented	In June 2021, the City Council approved the FY 2021-22 Operating Budget, which includes \$120,000 in one-time funding for continuation of the High-Risk Response Team (HRRT) pilot program. As such, the HRRT program will continue to operate as a pilot program in FY 2021-22. The Department reports that the YWCA has hired an outside entity to evaluate the HRRT program, which will result in a report that addresses program effectiveness and future resource needs. Target Date: Dec-2021
<p>#21-02 Advocate Referrals</p> <p>#04 To better understand the timeliness of referrals and utilization of advocacy services, as well as to further ensure survivors who received a referral are accounted for, the Police Department should:</p> <p>a) Work with the YWCA to determine what data should be regularly provided to the Department for domestic violence and sexual assault survivors, as well as data on the high-risk response team. This could include data on timeliness, utilization, demographics, lethality assessment score, and services provided, and</p> <p>b) Ensure the YWCA is provided a report of all domestic violence and sexual assault survivors who consented to a referral on a monthly or other regular basis.</p>	PD	Partly Implemented	The YWCA, in collaboration with the Sexual Assault Investigation Unit (SAIU), created an online reporting and exchange of information tool known as the "Warm Referral URL." The Police Department reports that this innovative online database is used to provide consistent, timely survivor referrals. It allows for multiple layers of supervision and cross-checking of information. SAIU has added the requirement for this tool to be used in every advocate referral. Presently, the Family Violence Unit (FVU) uses in-person, on-site advocate referrals with embedded YWCA personnel. FVU has been providing a monthly report to the YWCA of all consenting domestic violence survivors. This list is cross-checked by FVU and YWCA to further ensure all referral numbers are correct and survivors are connected to an advocate. The Department reports that the Warm Referral URL is being introduced to the Special Victims and Family Violence Units. Target Date: Dec-2021

Report and Recommendations	Dept (s)	Current Status	Comments
#21-02 Advocate Referrals  #05 The Police Department should work with Community Solutions to establish a process for regularly sharing data about the timeliness and utilization of advocacy services for human trafficking survivors.	PD	Partly Implemented	The Department reports it is working with Community Solutions to establish a Memorandum of Understanding/Agreement to regularly share data regarding the timeliness and utilization of advocacy services for human trafficking survivors. Target Date: Dec-2021
#21-02 Advocate Referrals  #06 The Police Department should expand work with community partners for outreach about advocacy services and crime prevention, targeting communities disproportionately affected by domestic violence, sexual assault, child/sexual abuse, and human trafficking, or that have lower utilization of advocacy services.	PD	Partly Implemented	The Department will continue its partnerships with groups such as, but not limited to, the South Bay Coalition to End Human Trafficking, Community Solutions, the YWCA, Asian Americans for Community Involvement, and the Step Forward Foundation with a "direct focus" toward culturally-based outreach using a data-driven approach to target communities disproportionately affected by domestic violence, sexual assaults, child/sexual abuse, and human trafficking. The Department reports that an outward facing marketing campaign, as part of City Council approved funding allocated to the Sexual Assault Investigation Unit (SAIU), continues to be in discussion amongst these groups. The Department will continue to ensure SAIU, the Special Victims Unit, and the Family Violence Unit coordinate internal efforts with the Crime Prevention Unit to ensure a best practices outreach approach. Target Date: Dec-2021
#21-03 Real Estate Services  #01 To better manage the City's real estate assets, the Real Estate Services Division should work with City departments to compile a comprehensive list of real estate assets that includes department ownership and intended or actual use of the property.	OED	Not Implemented	Real Estate reports that it is partnering with the Finance Department and the IT Department on a request for proposals for a real estate asset management software platform. This software is intended to be the foundation for the Real Estate Division to build a comprehensive City-wide real estate inventory with lease management, property management, and GASB-87 reporting capabilities. Target Date: Mar-2022
#21-03 Real Estate Services  #02 The Real Estate Services Division should work with the Information Technology Department, the Finance Department, and other City departments to implement a database platform to better manage the City's real estate assets that includes: a) Property management information such as lease terms, payments, and related information, b) Property-related agreements or other relevant information to identify ownership or management responsibilities, and c) Any other information that the Real Estate Services Division deems necessary.	OED	Not Implemented	Real Estate reports that it is partnering with the Finance Department and the IT Department on a request for proposals for a real estate asset management software platform. This software is intended to be the foundation for the Real Estate Division to build a comprehensive Citywide real estate inventory with lease management, property management, and GASB-87 reporting capabilities. Target Date: Mar-2022



Report and Recommendations	Dept (s)	Current Status	Comments
#21-03 Real Estate Services  #03 The Real Estate Services Division should work with other City departments to identify all vacant lands within the City's real estate portfolio, and report on that land and their intended uses to the City Council on an annual basis.	OED	Not Implemented	Real Estate reports that the database software platform referenced in recommendations #1 and #2 can be developed in a way that stores the information needed for annual reporting on the City's vacant land inventory. Target Date: Jun-2022
#21-03 Real Estate Services  #04 The Real Estate Services Division should work with the multiple departments involved in maintenance of City properties and the Information Technology Department to: a) Identify business process and service integration to ensure the data in its asset management software can be cross-referenced with other departments' databases, and b) Coordinate with other departments to ensure the City's vacant properties are provided with ongoing maintenance.	OED	Not Implemented	Real Estate reports that after it has completed the buildout of the database referenced in recommendation #2, Real Estate plans to engage the IT Department to build the system in a manner that allows for optimal standardization of data across City departments. Once Real Estate's software database is established, Real Estate plans to work with other departments to standardize data and facilitate cross-referencing between departments. Target Date: Dec-2022
#21-03 Real Estate Services  #05 To improve San José residents' access to cellular networks, after the Real Estate Services Division completes the market rate analysis of its telecommunication fees, it should bring recommendations for a new fee schedule to the City Council for approval.	OED	Not Implemented	Real Estate conducted a request for proposals for a consultant-led study to appraise a market rate macro telecommunication fee structure for different density profiles in San José. This study is now underway. Upon completion of the study, staff plans to recommend to Council an update to the City's template macro telecommunications lease, including an updated fee schedule and other incentives that to help facilitate macro telecommunication development in underserved neighborhoods in the City. Target Date: Dec-2022
#21-03 Real Estate Services  #06 In order to ensure compliance with California's Surplus Land Act, the Real Estate Division should work with the City Attorney's Office to update Council Policy 7-13 and the San José Municipal Code (Chapter 4.20) and bring to the City Council for approval.	OED / CAO	Not Implemented	Real Estate staff and the City Attorney's Office are collaborating on relevant revisions to the Municipal Code and Council Policy 7-13 to make them consistent with State surplus law. Staff anticipate that these revisions will be recommended to Council for adoption in late calendar year 2021. Target Date: Dec-2021