



Status of Open Audit Recommendations as of December 31, 2024

An update by the City Auditor
Issued March 2025

<http://www.sanjoseca.gov/auditor>

March 25, 2025, City Council item 3.3

Presented by Joe Rois, City Auditor and Brittney Harvey, Supervising Auditor



Summary of Results

186 Recommendations

56 new recommendations made since last update

41 implemented or closed since last update

102 partly implemented, **43** not implemented

80% implemented / closed over the last 10 years

Departments Implemented 40 Recommendations

Highlights of implemented recommendations in this period:

- ✓ **Housing Department:** Presented the final Rent Stabilization Program Strategic Plan to the City Council in September 2024.
- ✓ **Parks, Recreation and Neighborhood Services (PRNS):** Developed reporting and monitoring requirements for the Neighborhood Center Partner Program and presented actual service hours by agency to the Neighborhood Services & Education Council Committee.
- ✓ **Police Department:** The Department has begun collecting 9-1-1 data related to individuals with disabilities or homeless residents.
- ✓ **Code Enforcement:** Planning, Building and Code Enforcement implemented a case review policy and developed reporting tools to review and manage inspector workloads.
- ✓ **Children and Youth Services:** The Administration created a centralized portfolio to track programs and services, cross-referenced with the Bill of Rights for Children and Youth. Metrics from the Children and Youth Services Master Plan are also now expected to be presented annually to the City Council.

Twelve Priority Recommendations

Potential Budget Savings / Revenue Generation:

- Improve overtime controls in the Police Department (Police Staffing, Expenditures, and Workload, 2021)
- Add Community Service Officers to address lower priority Police calls (Police Staffing, Expenditures, and Workload, 2021)
- Require departments to liquidate old and unnecessary encumbrances (Encumbrances, 2024) – *New priority added*

Operational Efficiency:

- Eliminate the Construction & Demolition Diversion Deposit (Development Services, 2014)
- Implement a database platform to better manage the City's real estate assets (Real Estate Services, 2021)
- Adopt City policies and procedures by Retirement Services (Retirement Services, 2023)

Twelve Priority Recommendations (...continued)

Citywide Security / Risk Mitigation:

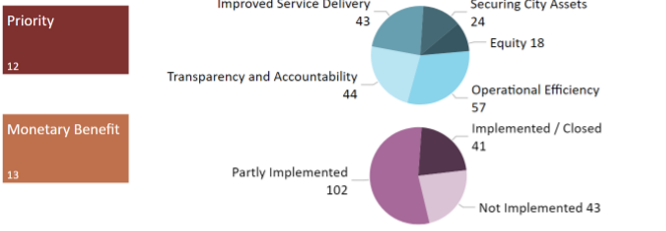
- Develop Citywide administrative guidelines or procedures for managing federal grants (Citywide Grant Management, 2022)
- Update the Emergency Operations Plan to segregate duties and formalize procurement tools (COVID-19 Food Distribution Expenditures, 2022) – *New priority added*
- Improve the accuracy and usefulness of reporting tools for encumbrances (Encumbrances, 2024) – *New priority added*

Improved Service Delivery:

- Procure a software solution and provide sufficient supervisory staff to support wage compliance review (Office of Equality Assurance, 2017)
- Increase language translations of vital documents and include translation options on Sjpermits.org (Residential Building Permits, 2023)
- Update San José Animal Care and Services manual to align with Association of Shelter Veterinarians Guidelines (Animal Care and Services, 2024) – *New priority added*

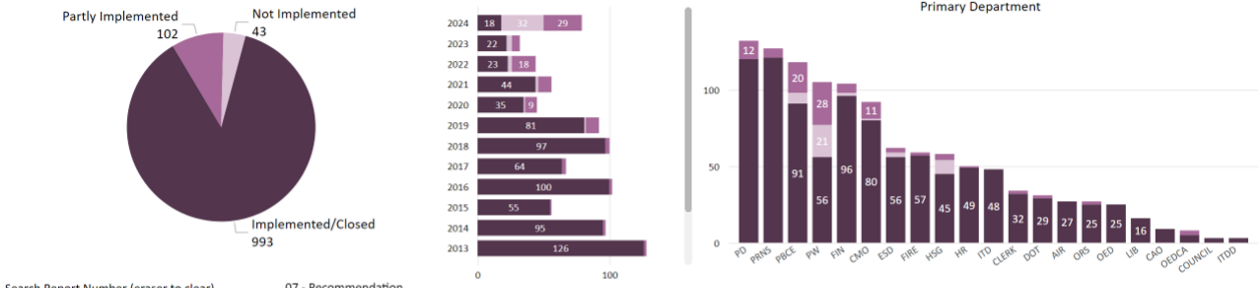
Online Interactive Dashboards

Status of Audit Recommendations as of December 2024 186 Reset
Click anywhere to sort the dashboard and hold Ctrl to filter for multiple items.



| Primary Department | Count | Year Published | Target Year |
|--|-------|----------------|-------------|
| Public Works (PW) | 55 | 2024 | 72 |
| Planning, Building, Code Enforcement (PBCE) | 31 | 2023 | 16 |
| Office of the City Manager (CMO) | 17 | 2022 | 25 |
| Police Department (PD) | 16 | 2021 | 20 |
| Housing Department (HSG) | 15 | 2020 | 12 |
| Finance Department (FIN) | 12 | 2019 | 14 |
| Parks, Recreation and Neighborhood Services (PRNS) | 11 | 2018 | 6 |
| Environmental Services Department (ESD) | 7 | 2017 | 4 |
| Office of Economic Development (OEDCA) | 5 | 2016 | 4 |
| Fire Department (FIRE) | 4 | 2015 | 1 |
| Retirement Services (ORS) | 4 | 2014 | 3 |
| Human Resources (HR) | 3 | 2013 | 2 |
| Office of the City Clerk (CLERK) | 3 | 2012 | 7 |
| Department of Transportation (DOT) | 2 | | |
| Office of the City Attorney (CAO) | 1 | | |

Summary of All Recommendations 2010 to Present 1138 Reset
Click anywhere to sort the dashboard and hold Ctrl to filter for multiple items.



Search Report Number (eraser to clear) Search
 Search Recommendation Text (eraser to clear) Search

Search Report Number (eraser to clear) Search
 07 - Recommendation Search

| Report # | Recommendation | Dept(s) | Current Status | Target Date | Status Update | Monetary Benefit (Potential) | Report Link |
|-----------|--|---------|----------------|-------------|--|------------------------------|---|
| #21-04 12 | To better set expectations for staff and address potential risks in its programs, the Department of Planning, Building and Code Enforcement should: a) Create and update Code Enforcement policies using a risk-based approach to identify where programs may not meet objectives, for example, incorporating policies or guidance for elements of supervisory review, documentation for deviating from policies, and for special programs, b) Combine the policies into a comprehensive digital manual, and c) Set a schedule for periodic review of policies and procedures to update as needed. | PBCE | Implemented | | (a) Code Enforcement developed an overarching deviations policy, which will be added to its digital manual and distributed the policy to staff. To meet (b) and (c), Code Enforcement developed a comprehensive digital policy manual and a schedule for periodic review of policies and procedures. Code has created a priority matrix and work plan to update Code policies and procedures in the digital policy manual accordingly. | | https://www.sanjoseca.gov/home/showpublisheddocument/76746 |

| Report # | Recommendation | Dept(s) | Status | Status Update (as of) | Link |
|----------|---|---------|-------------|---|---|
| #10-02 2 | Adopt a civilianization policy based on that of the International Association of Chiefs of Police or other best practices the Police Department identifies. | PD | Implemented | Auditor Update as of December 2016: The Department had developed and adopted a civilianization policy based on the IACP model provided in the audit. | http://www.sanjoseca.gov/Home/ShowDocument?id=33700 |
| #10-02 6 | Analyze its employment and assignment options regarding Brady officers and then develop a policy accordingly, based on the International Chiefs of Police model policy and other best practices identified by the Police Department. Should also consider whether to retain those officers and whether the work they perform, if administrative, could instead be performed by civilians. | PD | Closed | Auditor Update as of December 2016: In June 2010, the Department conducted research on best practices across jurisdictions in California to determine what other agencies were doing internally with Brady officers. Based on this, the Department developed a policy, which by December 2010 had been approved by the City Attorney's Office and District Attorney's Office. However, the adopted policy differed from the International Association of Chiefs of Police model in that it did not address how or whether Brady status could affect a sworn | http://www.sanjoseca.gov/Home/ShowDocument?id=33700 |

<https://www.sanjoseca.gov/your-government/appointees/city-auditor/audit-recommendations>